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Title: System And Method For The Automated Brokerage  
Of Financial Instruments  
Inventor(s): Tully et al.  
Appl. No. 10/692,067  
Docket #: 36194/42366

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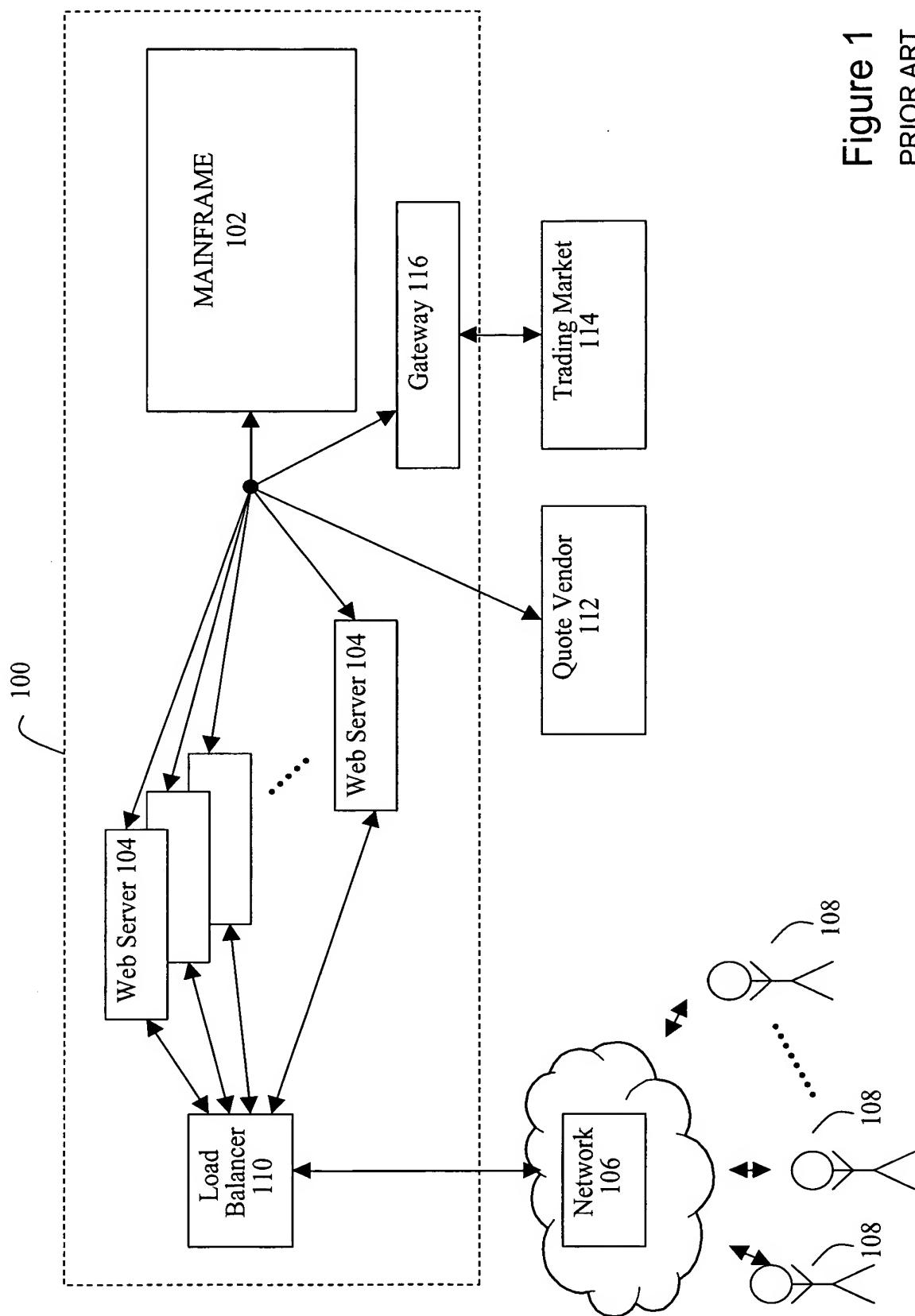


Figure 1  
PRIOR ART

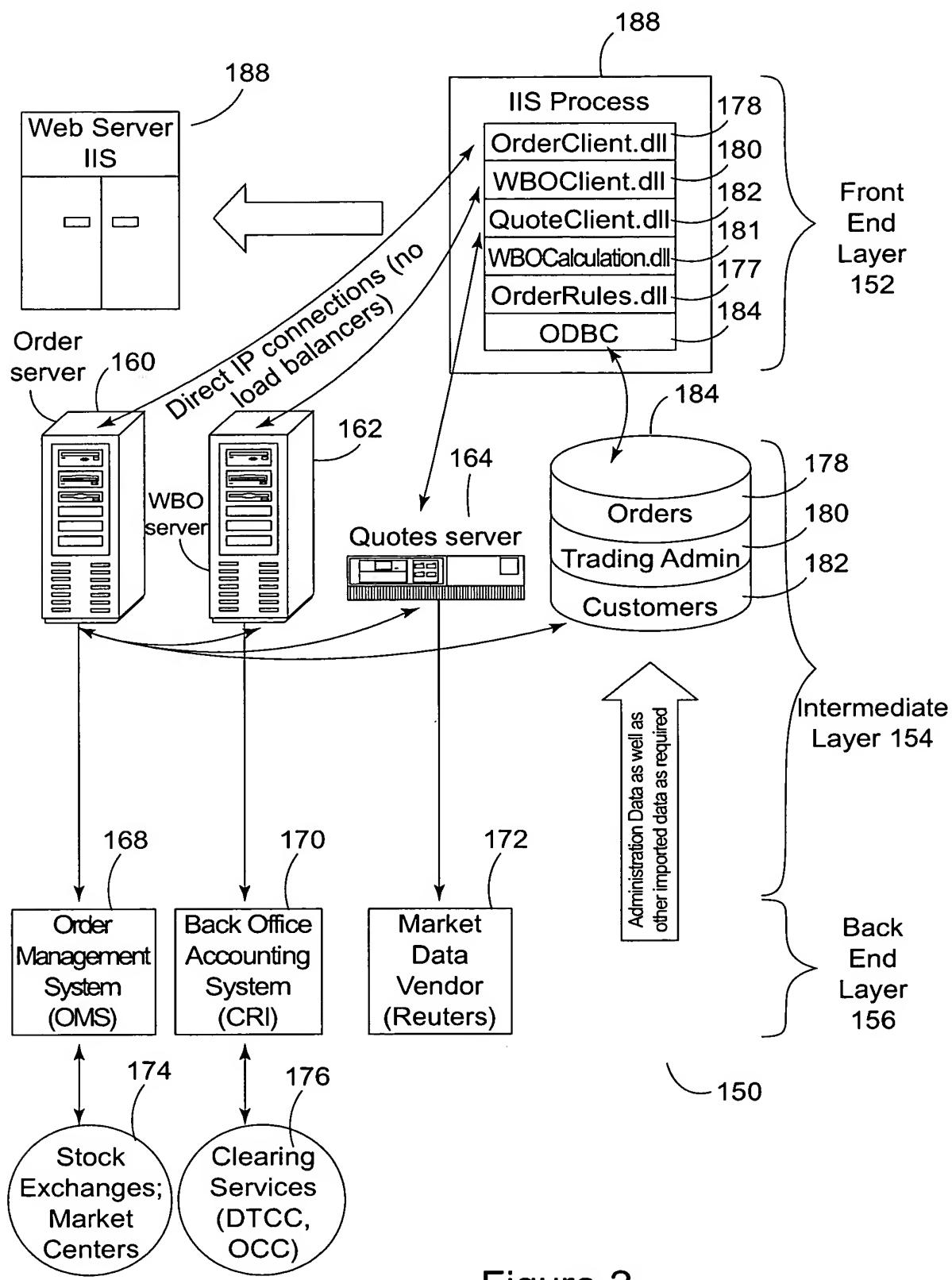


Figure 2

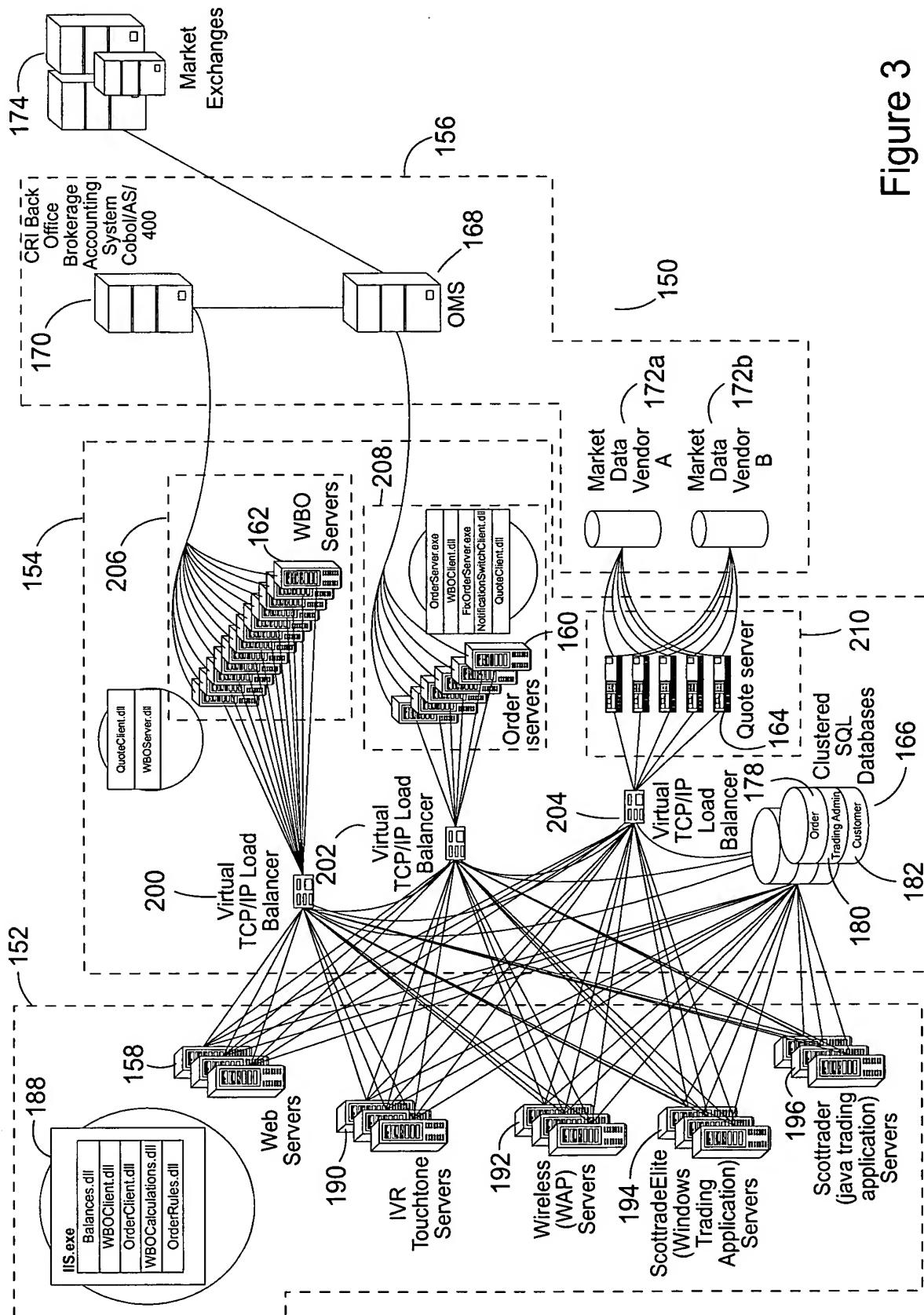


Figure 3

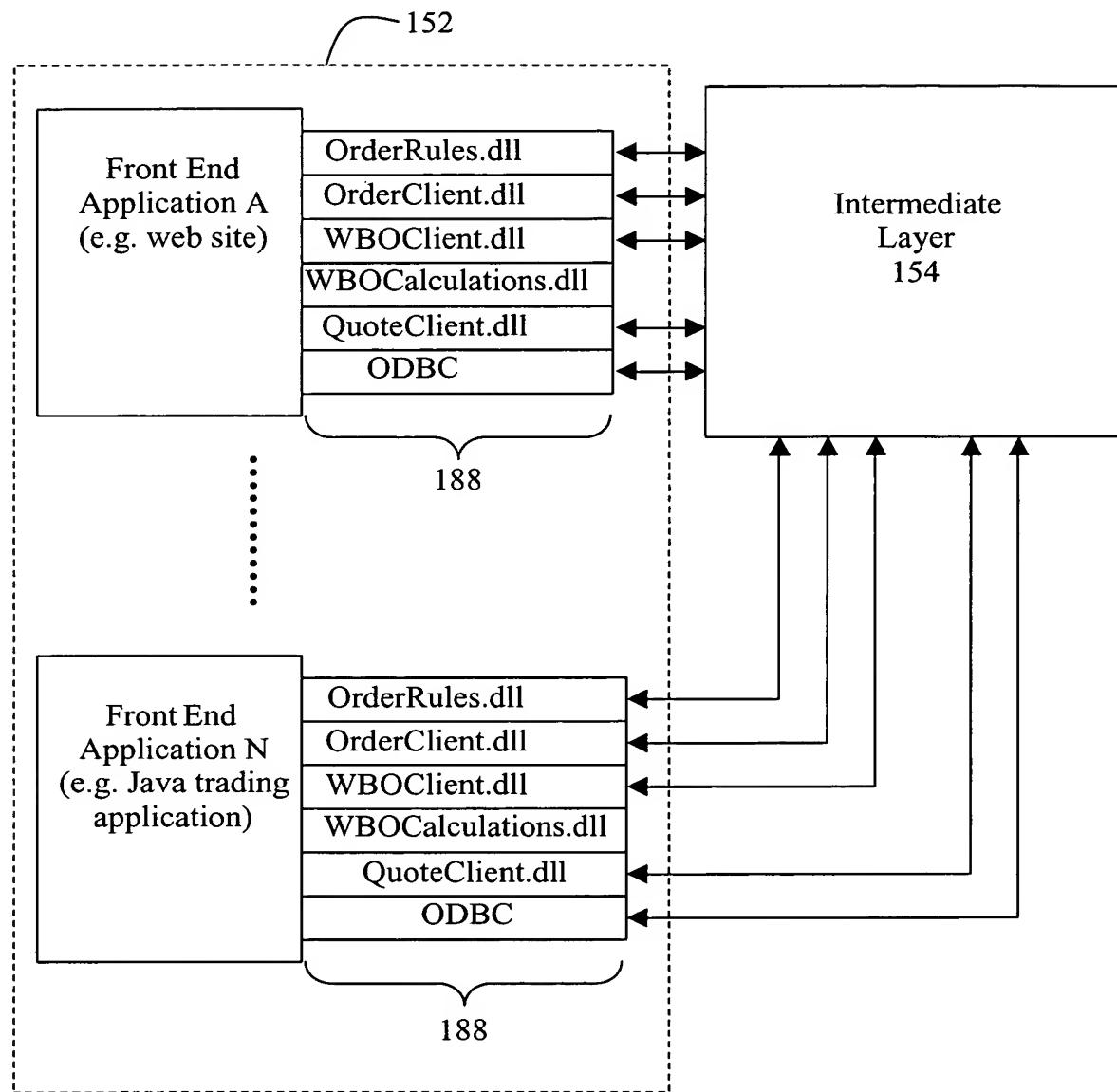
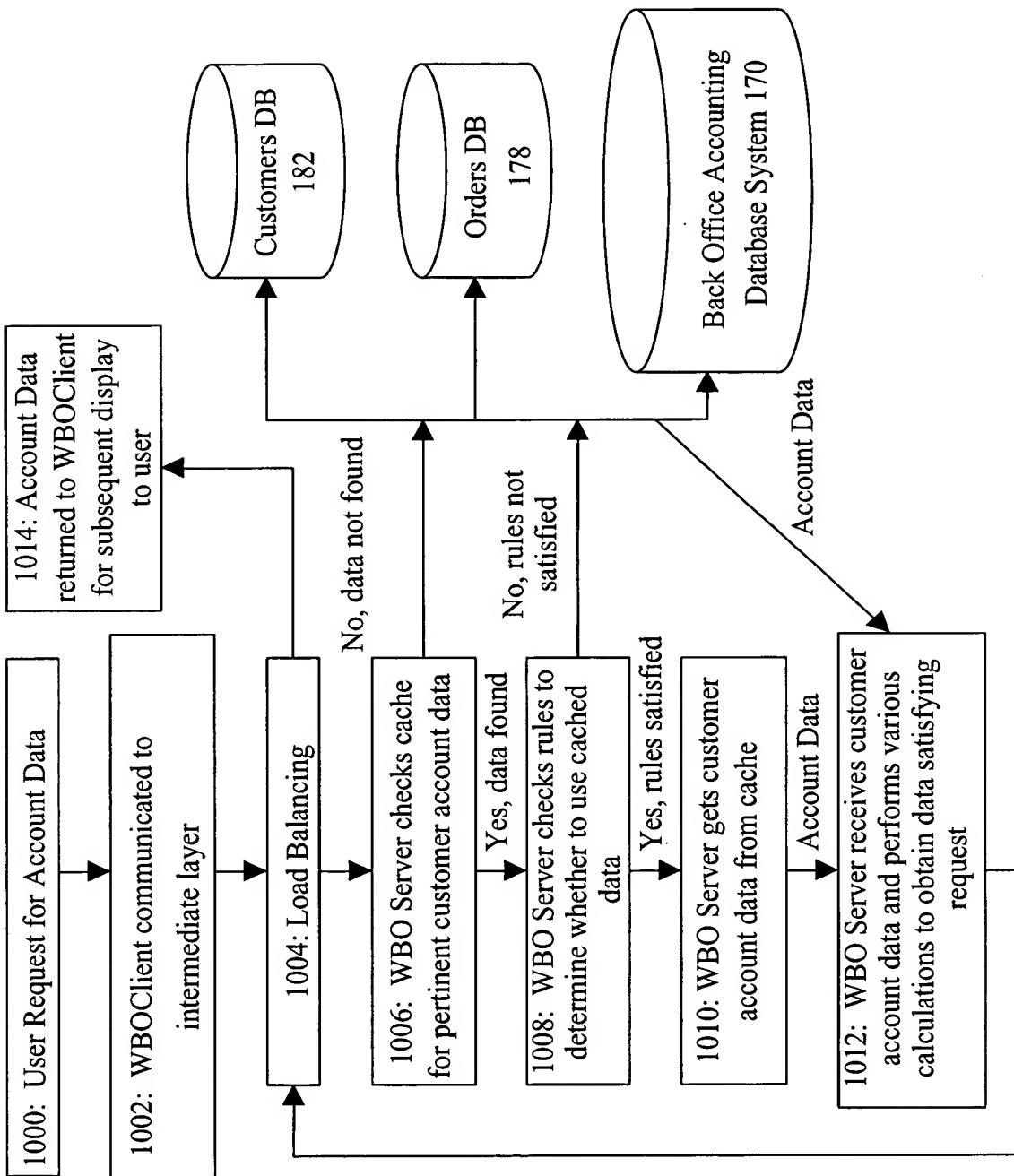


Figure 4

Figure 5



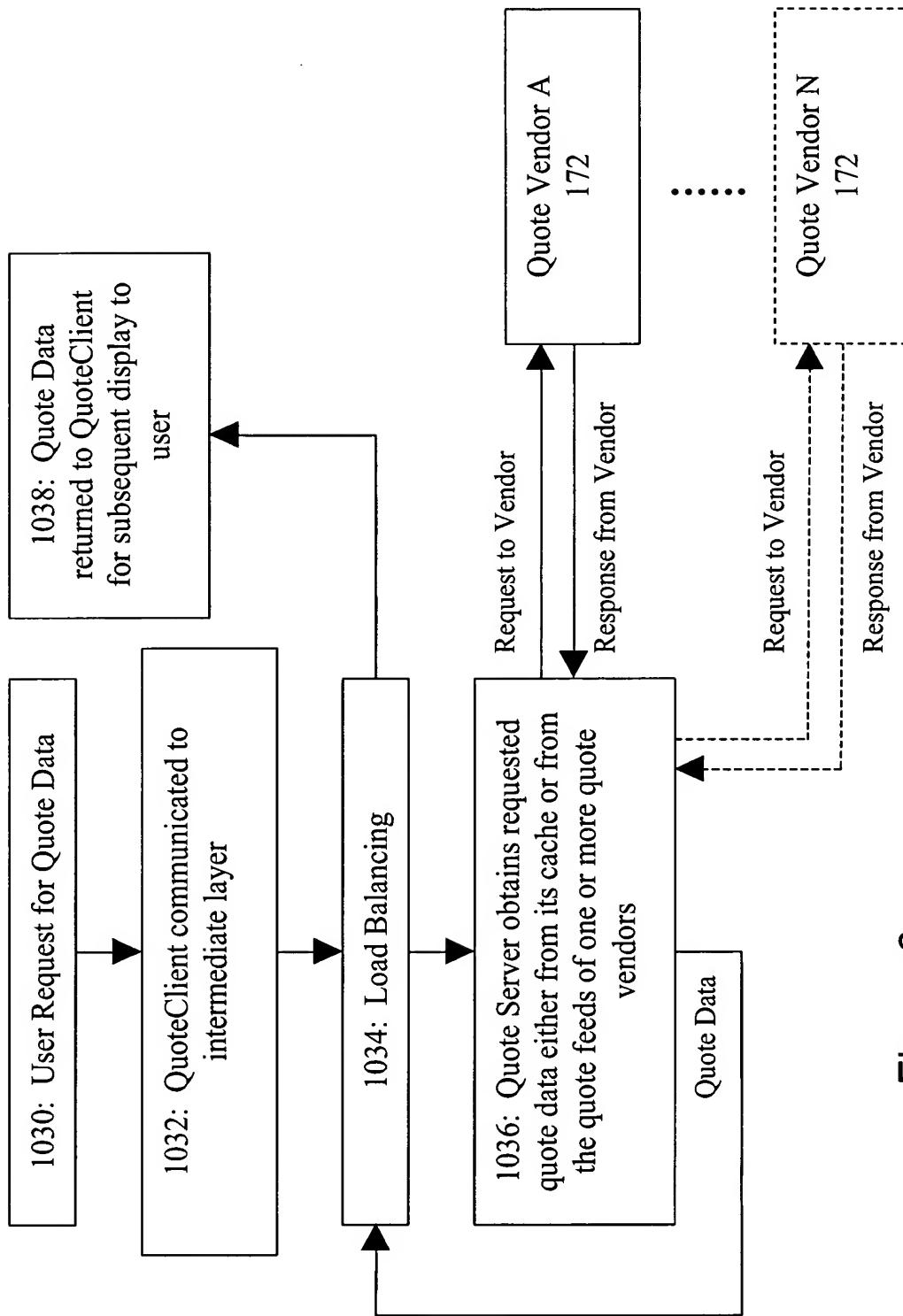


Figure 6

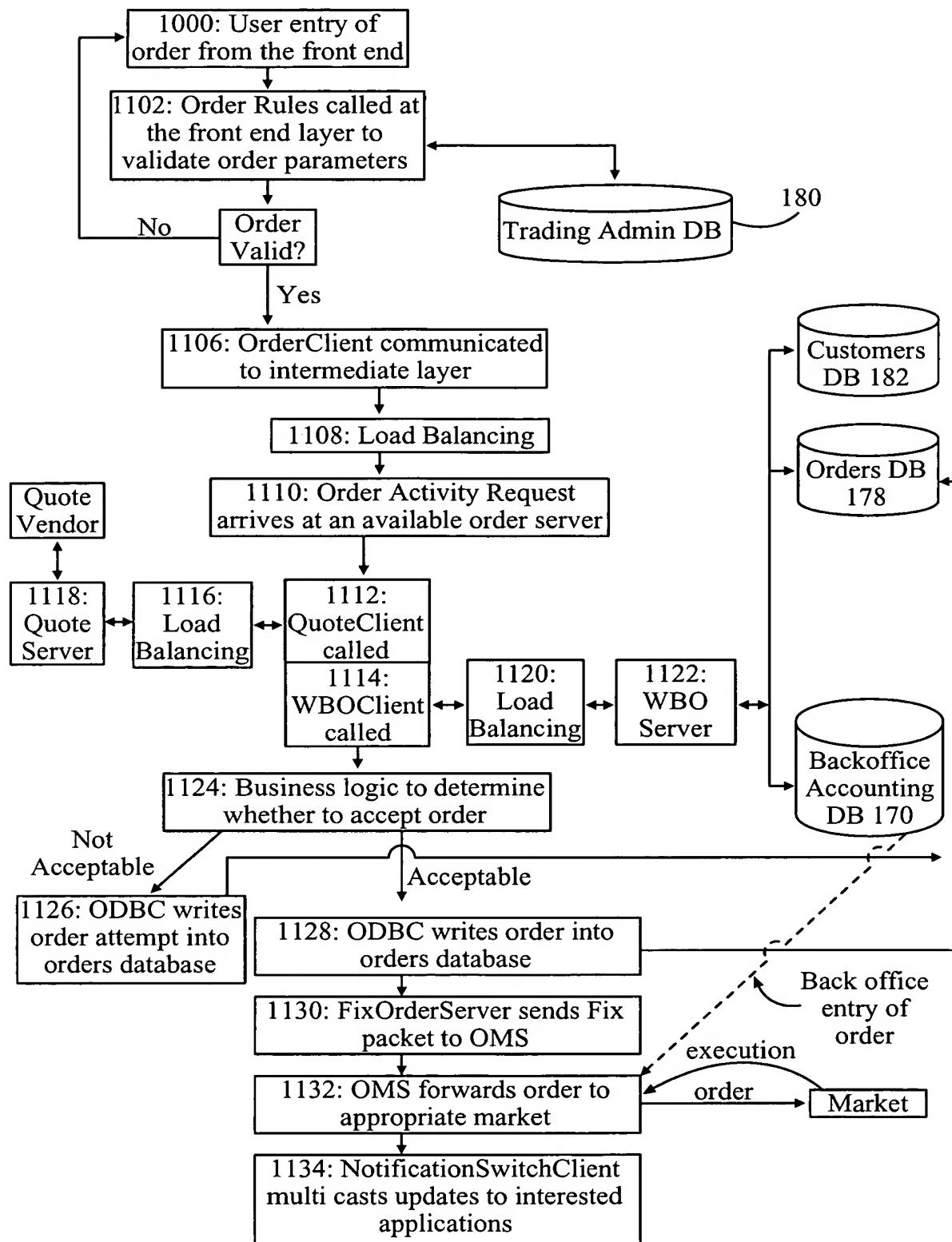


Figure 7

**Welcome to Scottrade Financial Services**

New Messages Today

Real-Time Market Indices - October 13, 2003 4:17 PM EST

S&P 500	DJIA	NASDAQ
1045.35 +7.29	9764.38 +89.70	1933.50 +18.20

Real-Time Account Information

Portfolio Value as of Previous Close	\$ 163.08	<input type="button" value="Help"/>
Current Net Balance (Cash + Unsettled Funds)	\$ 304.82	<input type="button" value="Help"/>
Total Account Value	\$ 467.90	<input type="button" value="Help"/>

Today's Real-Time Executions

None	
------	--

Current Open Orders

None	
------	--

Trading Cash

Cash / Settled Funds	\$ 304.82	<input type="button" value="Help"/>
Unsettled Funds	\$ 0.00	<input type="button" value="Help"/>
Current Net Balance	\$ 304.82	<input type="button" value="Help"/>
Trading Cash	\$ 304.82	<input type="button" value="Help"/>

\*This account is not Restricted

Real-Time Positions

Symbol	Qty	Acct Type	Quote	Value
SSCO	5	CASH	21.00	105.00
MSET	2	CASH	28.78	57.56
SWAS	1	CASH	1.27	1.27
Total Market Value				\$163.83

Symbol:  Detailed Quote:  Quick Links:

Figure 8a

**Title:** System And Method For The Automated Brokerage  
 Of Financial Instruments  
**Inventor(s):** Tully et al.  
**Appl. No.** 10/692,067  
**Docket #** 36194/42366

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**Current Trade Balances**

October 13, 2003		
Description	Value	Help
Portfolio Value as of Previous Close	\$163.08	Help
Current Net Balance	\$304.82	Help
Total Account Value	\$467.90	Help
<input style="border: 1px solid black; padding: 2px 10px; margin-right: 5px;" type="button" value="Cash / Settled Funds"/> <input style="border: 1px solid black; padding: 2px 10px;" type="button" value="\$304.82"/> <input style="border: 1px solid black; padding: 2px 10px;" type="button" value="Help"/>		

Today's Settled Funds		
Description	Value	Help
****Unsettled Stock Sells	\$0.00	Help
***Unsettled Option Sells	\$0.00	Help
***Unsettled Other Sells	\$0.00	Help
<b>****Unsettled Total Sells</b>	<b>\$0.00</b>	<b>Help</b>
Unsettled Total Buys	\$0.00	Help
<b>Current Net Balance</b>	<b>\$304.82</b>	<b>Help</b>
<input style="border: 1px solid black; padding: 2px 10px; margin-right: 5px;" type="button" value="Trading Cash"/> <input style="border: 1px solid black; padding: 2px 10px;" type="button" value="\$15.00"/> <input style="border: 1px solid black; padding: 2px 10px;" type="button" value="Help"/>		
<input style="border: 1px solid black; padding: 2px 10px; margin-right: 5px;" type="button" value="Open Buy Orders"/> <input style="border: 1px solid black; padding: 2px 10px;" type="button" value="\$289.82"/> <input style="border: 1px solid black; padding: 2px 10px;" type="button" value="Help"/>		
<input style="border: 1px solid black; padding: 2px 10px; margin-right: 5px;" type="button" value="***Trading Cash for Fixed Income/Mutual Funds Purchases"/> <input style="border: 1px solid black; padding: 2px 10px;" type="button" value="\$289.82"/> <input style="border: 1px solid black; padding: 2px 10px;" type="button" value="Help"/>		

\*\*\* Click the Helps for information on how you are able to use these funds for Buys.

Today's Trades - You can see settlement dates for your trades today by clicking on Today's Real-Time Executors found on your Home page.

Previous Trades - You can see settlement dates for past trades by going to Account Information and then to your Trade History.



Figure 8b

Title: System And Method For The Automated Brokerage  
Of Financial Instruments  
Inventor(s): Tully et al.  
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### Current Open Orders & Real-Time Executions

Current Open Orders						
MOD	CXL	Action	Qty	Symbol	Price	Acct Type
MOD	CXL	SELL	2	MSFT	Limit 40.00	CASH
MOD	CXL	SELL	1	RTRSY	Limit 15.00	CASH

Qualifiers   T.I.F.   Session

Order   None   XIA242520031013   QUEUED   Regular

Order   None   XAB736120031013   QUEUED   Regular

Help   Today's Real-Time Executions   None   Help

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Account # 123xyz

- First Step
- Deposit Funds
- echeck
- Wireless

**NEW FEATURES**

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- NEW! ScottradeElite

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- Briefing.com
- Change Accounts
- Logout of Trading
- Site Map

Symbol:    Detailed Quote:    Quick Links:

Figure 8c

Title: System And Method For The Automated Brokerage  
Of Financial Instruments  
Inventor(s): Tully et al.  
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### Real-Time Positions

October 13, 2003					
Symbol	Name	Cty	Acct Type	Quote	Value
CSCO	CISCO SYSTEMS	5	CASH	21.00	105.00
MSFT	MICROSOFT CORP	2	CASH	28.78	57.56
SWS	SAMS COMMUNICATIONS CORP	1	CASH	1.27	-0.04
	Total Market Value				\$163.83
					\$0.75

Help

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Account # 123xyz

First Step  
 Deposit Funds  
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 Top Ten  
 Briefing.com  
 Change Accounts  
 Logout of Trading  
 Site Map

Symbol:  Quick Links

Detailed Quote

Figure 8d

Title: System And Method For The Automated Brokerage  
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Inventor(s): Tully et al.  
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## Equity Order Entry

Market Side:	<input style="border: 1px solid black; padding: 2px; border-radius: 5px;" type="button" value="Buy"/> <input style="border: 1px solid black; padding: 2px; border-radius: 5px;" type="button" value="Help"/>	Market Type:	<input style="border: 1px solid black; padding: 2px; border-radius: 5px;" type="button" value="Market"/> <input style="border: 1px solid black; padding: 2px; border-radius: 5px;" type="button" value="Day Order"/> <input style="border: 1px solid black; padding: 2px; border-radius: 5px;" type="button" value="Help"/>	Stop Price:	<input style="border: 1px solid black; padding: 2px; border-radius: 5px;" type="button" value="Help"/>
Quantity:	<input style="width: 100px; border: 1px solid black; border-radius: 5px;" type="text" value="1"/>	Symbol:	<input style="width: 100px; border: 1px solid black; border-radius: 5px;" type="text" value="GE"/>	Time in Force:	<input style="border: 1px solid black; padding: 2px; border-radius: 5px;" type="button" value="Help"/>
Order Type:	<input style="border: 1px solid black; padding: 2px; border-radius: 5px;" type="button" value="Market"/> <input style="border: 1px solid black; padding: 2px; border-radius: 5px;" type="button" value="Limit"/> <input style="border: 1px solid black; padding: 2px; border-radius: 5px;" type="button" value="Stop"/>	Limit Price:	<input style="width: 100px; border: 1px solid black; border-radius: 5px;" type="text"/>	Qualifiers:	<input type="checkbox" value="All or None"/> All or None <input style="border: 1px solid black; padding: 2px; border-radius: 5px;" type="button" value="Help"/>
Trading Period:	<input style="border: 1px solid black; padding: 2px; border-radius: 5px;" type="button" value="Regular Hours"/>				

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Figure 8e

Title: System And Method For The Automated Brokerage  
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**Equity Order Entry**

Are you sure you want to submit this order?

Symbol	Last	Change	Bid	Ask	Size	High	Low	Volume	Market
GE	+28.93	-0.39	28.92	28.94	347 x 12	29.97	28.65	29,536,300	NYSE

Market Side:  Buy  Sell

Quantity:

Symbol:

Price:

Time in Force:  Day Order  Good Till Canceled

Estimated Commission:

Trading Period:  Regular Hours  Extended Hours

Account Number:

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Quick Links

Symbol:  Detailed Quote

Figure 8f

Title: System And Method For The Automated Brokerage  
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Scottrade

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Your order has been entered subject to broker approval.

Market Side: Buy  
Quantity: 1  
Symbol: GE  
Price: At the Market

Time in Force: Day Order  
Estimated Commission: \$7.00  
Account Number: 123XYZ  
Account Type: CASH

Your reference number is: XXB328920031013

Any order entered after market close is good for the next business day.  
Help   OK

Account # 123XYZ

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 echeck  
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 Site Map

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Symbol:    Detailed Quote    Quick Links

Figure 8g

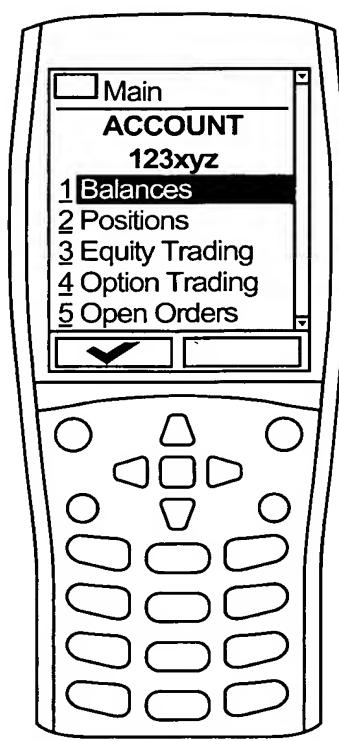


Figure 9(a)

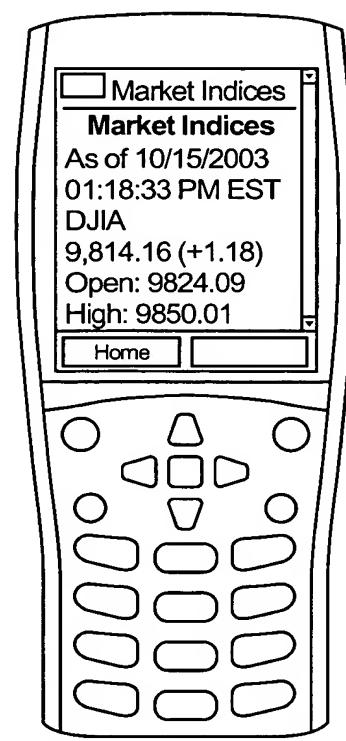


Figure 9(b)

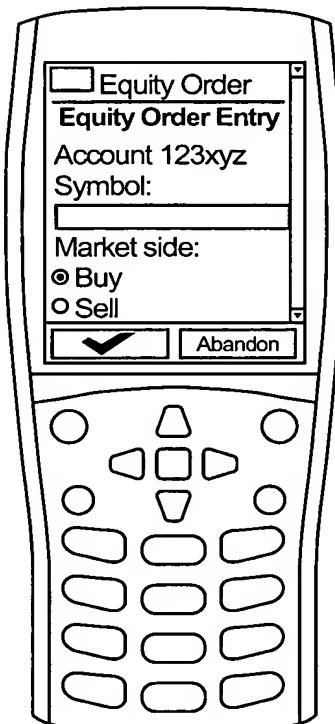


Figure 9(c)

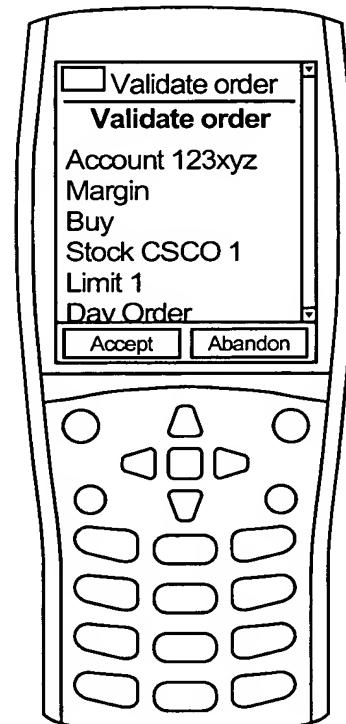


Figure 9(d)



Figure 9(e)

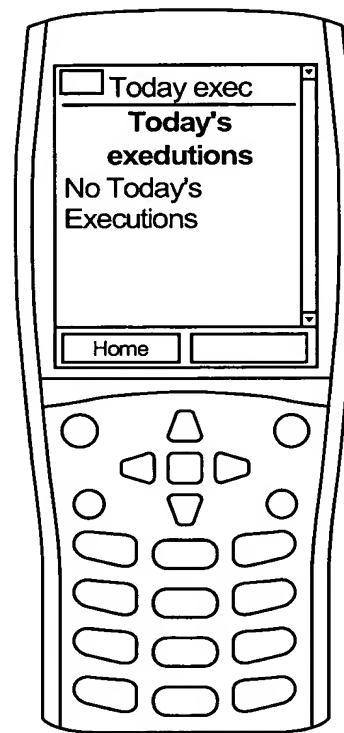


Figure 9(f)

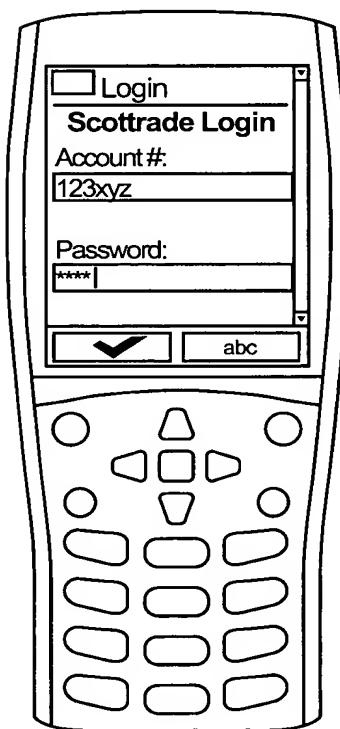


Figure 9(g)

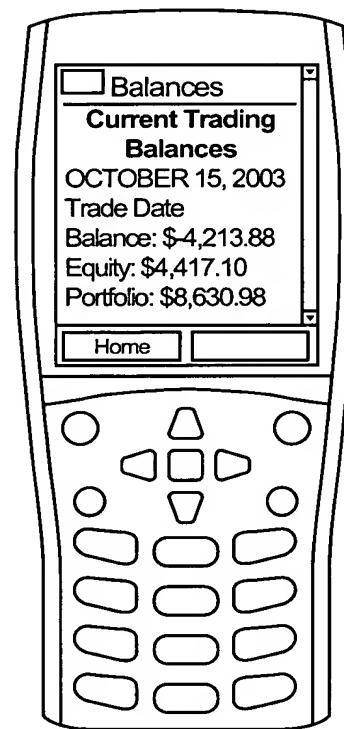


Figure 9(h)

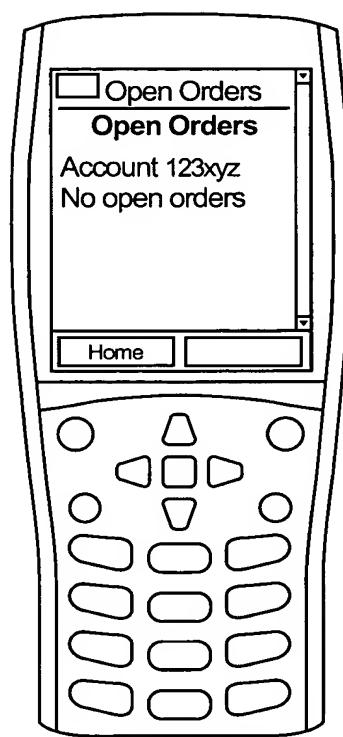


Figure 9(i)

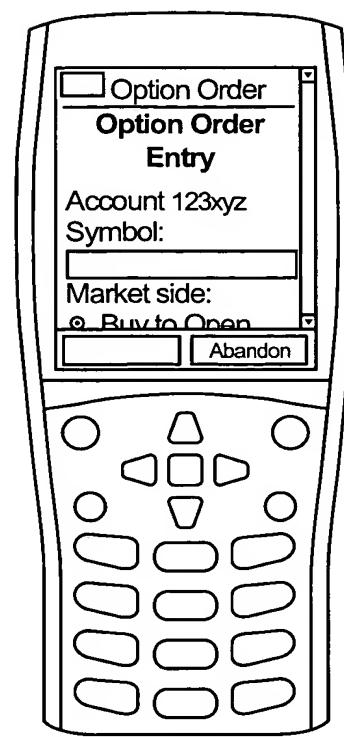


Figure 9(j)

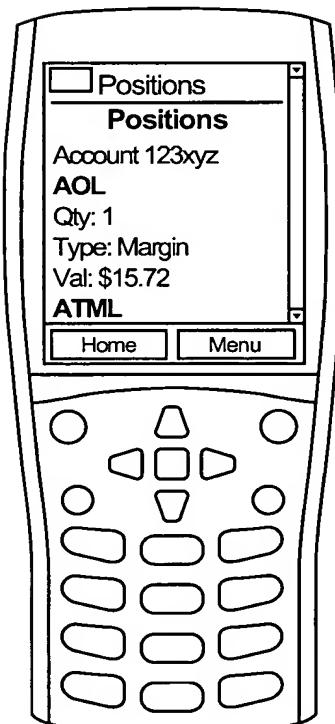


Figure 9(k)

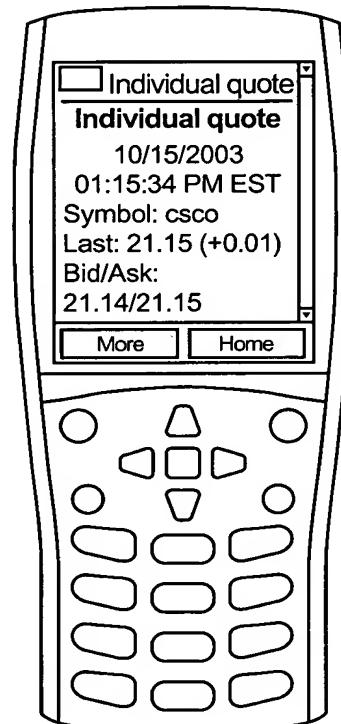


Figure 9(l)

Title: System And Method For The Automated Brokerage  
Of Financial Instruments

Inventor(s): Tully et al.

Appl. No. 10/692,067

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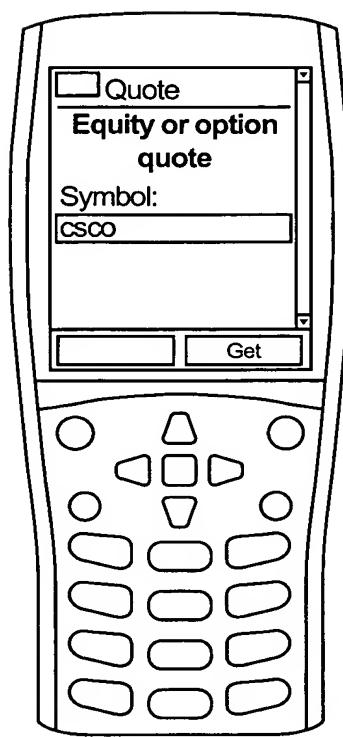


Figure 9(m)



Figure 9(n)

Title: System And Method For The Automated Brokerage Of Financial Instruments  
 Inventor(s): Tully et al.  
 Appl. No. 10/692,067  
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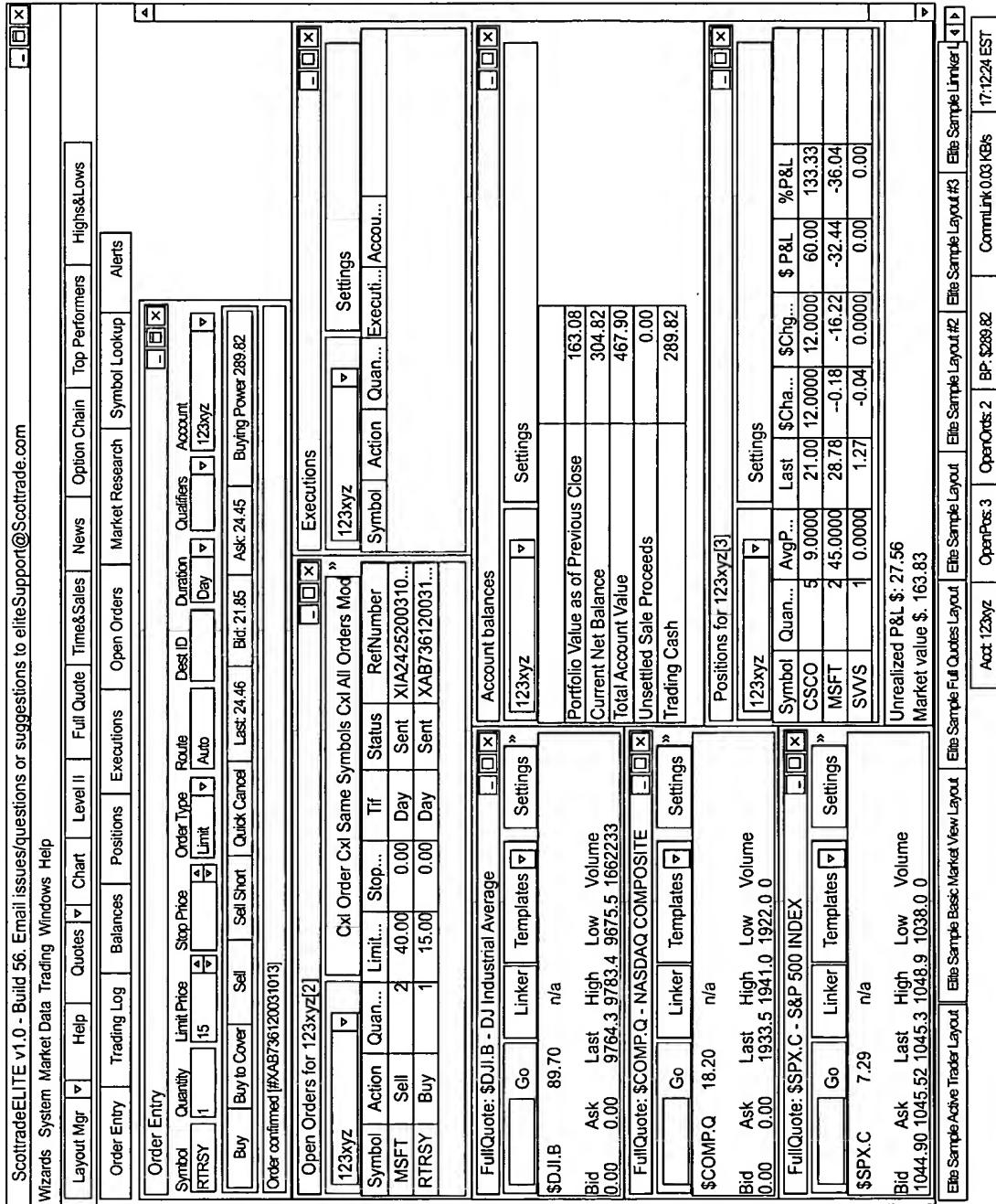


Figure 10

Title: System And Method For The Automated Brokerage  
 Of Financial Instruments  
 Inventor(s): Tully et al.  
 Appl. No. 10/692,067  
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ScottTrader v3.1 Email support: scotttrader@scotttrade.com

Account [123xyz] Symbols [9/20] QuickQuotes [0/5] TopTen [0]

Selected list: None

Market At Glance =  Stock Research =  Mutual Fund Research =  Last Ticks =  Customer Service =

Market Summary 17:44:45  
 \$DJI 9764.38 +89.70  
 \$COMX 1933.5 +18.20  
 \$SPX 1045.35 +7.29

Symbol	Chart	QuickQuote	Dow Jones News	Settings
Add Symbols	Stock Lists	Market Moves	Order Entry	Save Layout
Buy	Stock Lists	Top Ten		
Sell				

MarketSummary

Symbol	Symbol	Symbol	Symbol	Symbol	Symbol	Symbol	Symbol	Symbol	Symbol
MSFT	CSCO	NITE	SVVS	HYPR	IBM	KO	VNT	EMC	
28.78	21.00	13.97	1.27	4.66	93.20	44.14	58.95	14.45	
-13	+21	+53	-04	-11	+53	+31	+53	-04	
+28.73	-20.97	-14.00	+1.23	+4.29	+93.10	-44.11	-58.55	-14.43	
28.77	20.99	14.13	1.36	4.82	93.25	44.58	59.23	14.45	
29.10	21.09	14.00	1.37	4.7	93.54	44.25	59.19	14.66	
28.50	20.86	13.41	1.21	4.55	92.58	43.82	58.43	14.30	
+	=	-	+	+	+	-	=	-	
39,329,997	36,370,298	1,276,756	218,365	1,100	4,639,200	3,420,200	4,566,200	11,818,600	
Composite	Composite	Composite	Composite	Composite	Composite	Composite	Composite	Composite	
16:03:00	17:44:38	16:03:00	16:03:00	16:03:00	16:03:00	16:02:00	17:44:31	16:01:00	
28.91	20.79	13.44	1.31	4.55	92.67	43.83	58.42	14.49	
-4.9%	+1.01%	+3.94%	-3.05%	+2.42%	+5.77%	+7.1%	+9.1%	-28%	

Drag and drop a symbol over any icon or chart, QuickQuote or trading window and release for quicker access.

Current Real-Time Positions

Reload	Order Entry	Orders	Executions	Balances	?
AccountType	Symbol	Qty	LastPrice	Change	NetValue
Cash	CSCO	5	21.00	.21	105.00
Cash	MSFT	2	28.78	-.13	57.56
Cash	SVVS	1	12.27	-.04	1.27

Warning: Apple Window

Symbol	Bid	Ask	Last	Volume	Time
	0.0	0.0	0	0	00:00:00

Cancel All

Market Side: Buy  Sell  Market   Qualifiers  Day  AON  Send Order

Current Open Orders

Reload	Order Entry	Positions	Executions	Balances	?		
AccountType	Symbol	Action	Qty	Limit	Stop	TIF	Status
Cash	GE	Buy	1	None	None	Day	Queued
Cash	RTRSY	Buy	1	15.0	None	Day	Queued
Cash	MSFT	Sell	2	40.0	None	Day	Queued

Today's Real-Time Executions

Reload	Order Entry	Positions	Orders	Balances	?
Symbol	Action	Quantity	\$Price	\$Total	AcctType

Current Real-Time Balances

Reload	Order Entry	Positions	Orders	Executions	?
Description					Value
Cash					Portfolio Value as of Previous Close 163.08
Cash					Current Net Balance 304.82
Cash					Total Account Value 467.9
Cash					Unsettled Sale Proceeds 0.0
Cash					Trading Cash 260.88

Warning: Apple Window

Figure 11

Title: System And Method For The Automated Brokerage  
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<input type="radio"/> Indiv	<input type="radio"/> Group	Approval Queue	<input type="radio"/> Symbol Admin	<input type="radio"/> Option Admin	<input type="radio"/> Trading Control	<input type="radio"/> History
<b>Trading (jdoe) Admin</b>						
<b>Symbol Admin</b>						
Equity Symbol (Not Option): <input type="text" value="BM"/> <input type="button" value="Lookup"/> <input type="button" value="Save"/>						
Route:	<input style="border: 1px solid black; padding: 2px 10px; border-radius: 5px; margin-right: 10px;" type="button" value="Normal"/> <input style="border: 1px solid black; padding: 2px 10px; border-radius: 5px;" type="button" value="Advanced"/>					
Buy:	<input type="radio"/> Yes <input type="radio"/> No					
Sell:	<input type="radio"/> Yes <input type="radio"/> No					
Sell Short:	<input type="radio"/> Yes <input type="radio"/> No <input style="border: 1px solid black; padding: 2px 10px; border-radius: 5px;" type="button" value="Inventory Check Required"/>					
Buy to Cover:	<input type="radio"/> Yes <input type="radio"/> No					
Buy to Open:	<input type="radio"/> Yes <input type="radio"/> No					
Buy to Close:	<input type="radio"/> Yes <input type="radio"/> No					
Sell to Open:	<input type="radio"/> Yes <input type="radio"/> No					
Sell to Close:	<input type="radio"/> Yes <input type="radio"/> No					
Extended Hours Trading:	<input type="radio"/> Yes <input type="radio"/> No					
Option Chain Allowed:	<input type="radio"/> Yes <input type="radio"/> No					
Min Lot Size:	<input type="text" value="1"/>					
Margin Requirement:	<input type="text" value="50"/> %					
Add Disallowed Option Root or Symbol:	<input type="text"/> <input style="border: 1px solid black; padding: 2px 10px; border-radius: 5px;" type="button" value="Type"/>					

Figure 12a

Figure 12b

Trading (jdoe) Admin

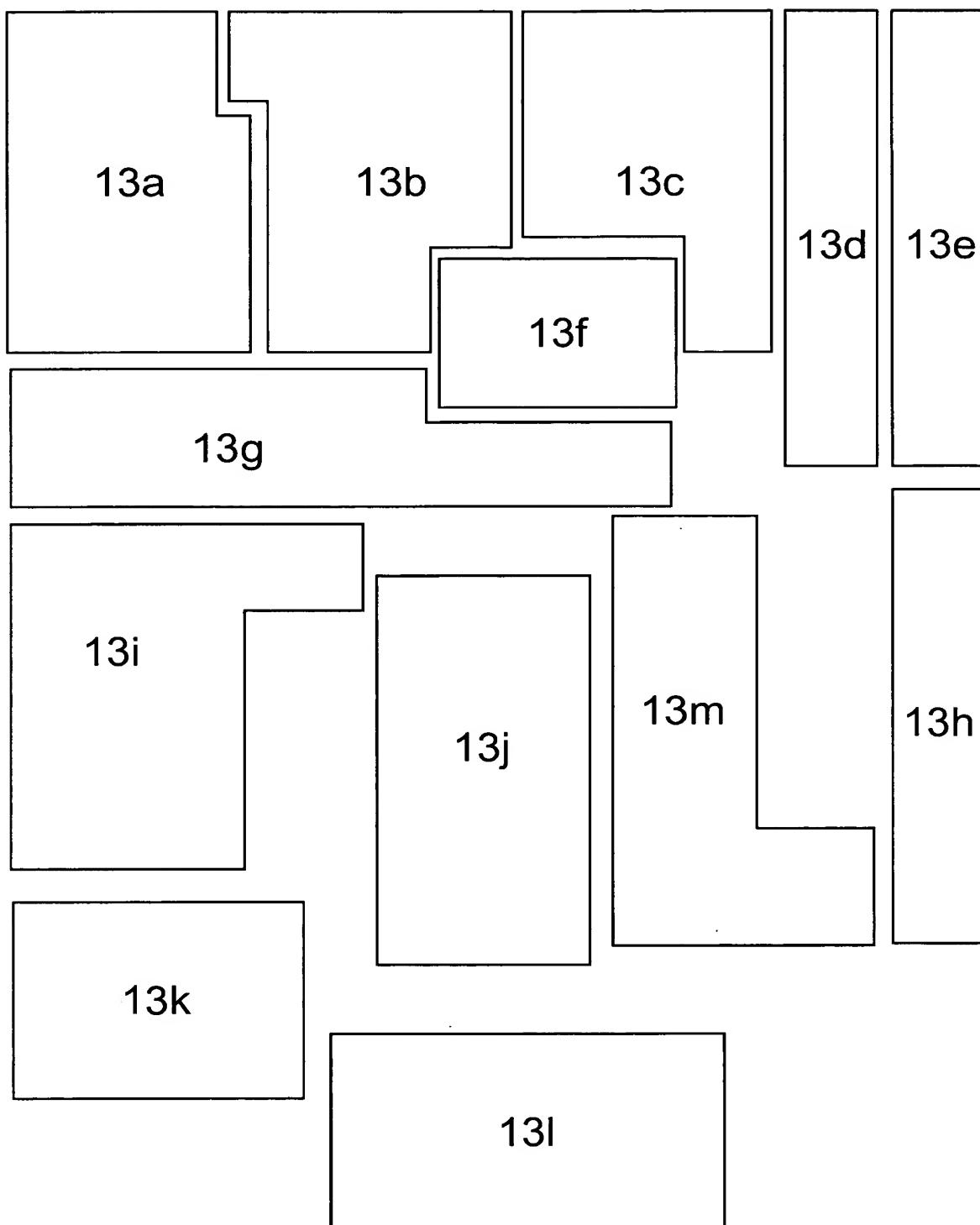
Search: A B C D E F G H I J K L M N O P Q R S T U V W X Y Z

#	Option Symbol	Option Type	Symbol	Underlying Security	Admin	Trading Control	History
1	.AAM	Root				Delete	
2	.AYY	Root				Delete	
3	.AFU	Root				Delete	
4	.AGK	Root				Delete	
5	.AHY	Root				Delete	
6	.AIE	Root				Delete	
7	.AIX	Root				Delete	
8	.AKA	Root				Delete	
9	.ANO	Root				Delete	
10	.AOP	Root				Delete	
11	.AOV	Root				Delete	
12	.AUB	Root				Delete	
13	.AUE	Root				Delete	
14	.AYP	Root				Delete	

Trading (jdoe) Admin						
<input type="radio"/> Indiv		<input type="radio"/> Group	Approval Queue	<input type="radio"/> Symbol Admin	<input type="radio"/> Option Admin	<input type="radio"/> Trading control
Trading Control						
Trading Type	Entry	Modify	Cancel	NYSE	Nasdaq	Amex
*Master:	<input checked="" type="checkbox"/>					
Equity:	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			
Option:	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			
Bulletin Board:	<input checked="" type="checkbox"/>					
Extended Hours:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
Scottrader:	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			
<input type="button" value="Submit"/>						

\*Turning off Master will turn off all underlying trading entry methods even if checked.

Figure 12c



Customers DB

Figure 13

Title: System And Method For The Automated Brokerage  
 Of Financial Instruments  
 Inventor(s): Tully et al.  
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tbl_day_trader_report		tbl_day_trader_log	
account	varchar(12)	account	varchar(10)
office_id	varchar(4)	updated	smalldatetime
Trades	int		
Trade_begin_date	smalldatetime		
Trade_end_date	smalldatetime		
Report_date	smalldatetime		
account_value	money		
value_date	smalldatetime		
Posted_date	smalldatetime		

fix		customers_without_password_	
		20021111	
account	char(8)	account	char(8)
office_code	char(3)	office_code	char(3)
password	varchar(10)	password	varchar(10)
email	varchar(100)	email	varchar(100)
ssn	char(9)	ssn	char(9)
notification_method	tinyint	notification_method	tinyint
web_access	bit	web_access	bit
web_trading	bit	web_trading	bit
sell_only	bit	sell_only	bit
invalid_email	bit	invalid_email	bit
statements_online	bit	statements_online	bit
session_timeout	int	session_timeout	int
login_fails	int	login_fails	int
last_access	datetime	last_acccess	datetime
proxy_delivery_status	tinyint	proxy_delivery_status	tinyint
proxy_access_pin	varchar(4)	proxy_access_pin	varchar(4)
activation_date	smalldatetime	activation_date	smalldatetime
activated_by	varchar(6)	activated_by	varchar(6)
ivr_pin	varchar(4)	ivr_pin	varchar(4)
day_trader	bit	day_trader	bit
ivr_lockout	bit	ivr_lockout	bit
last_updated	datetime	last_updated	datetime
voice_callback	char(12)	voice_callback	varchar(12)
agreement_status	char(4)	agreement_status	char(4)
		deactivation_datetime	datetime
		deactivation_reason_id	smallint

Figure 13a

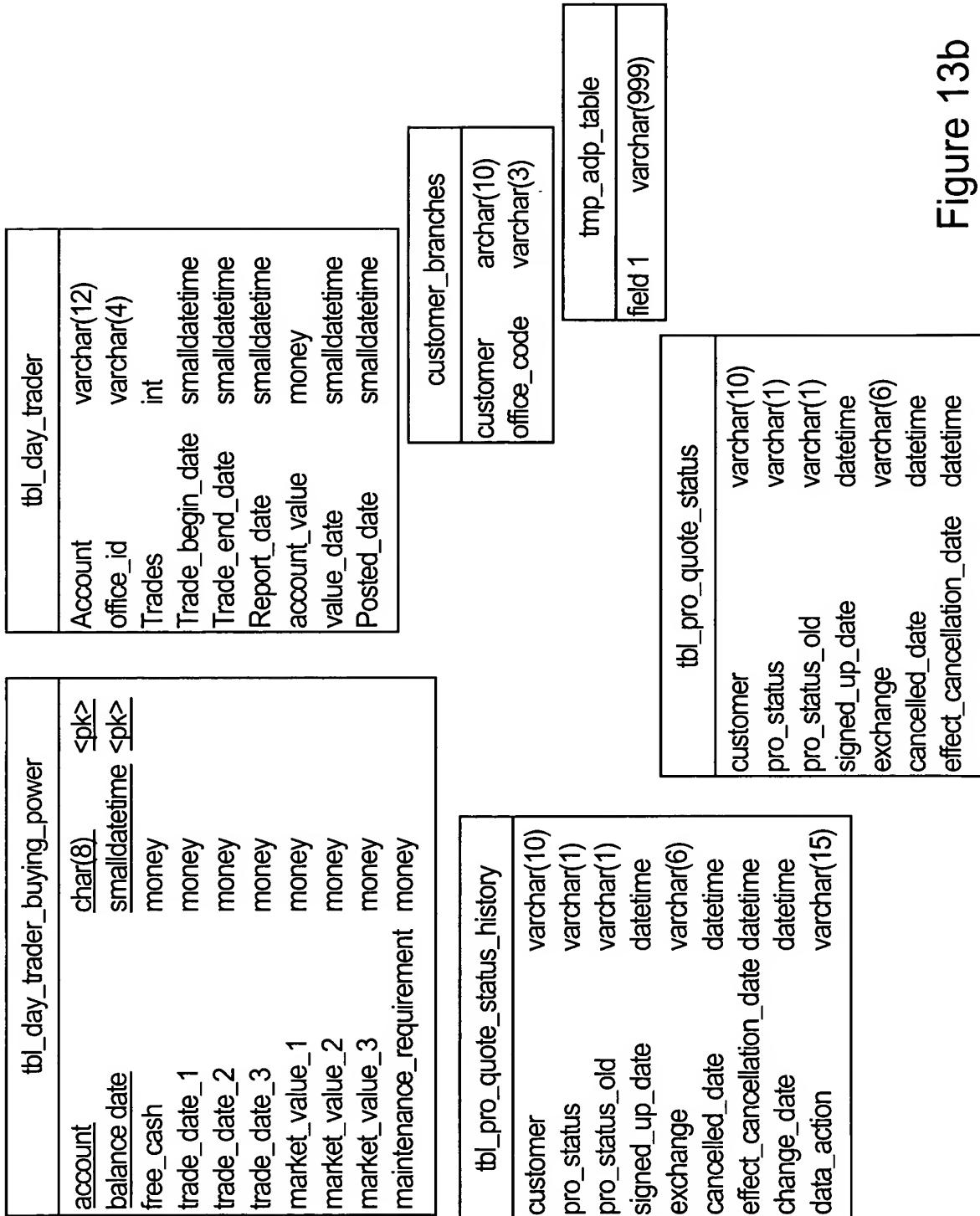


Figure 13b

tbl_user		tbl_proxy_status_change		tbl_customer636	
<u>account_parent</u>	char(8) <i>&lt;pk&gt;</i>	account	char(8)	account	char(8)
<u>account_child</u>	char(8) <i>&lt;pk&gt;</i>	change_datetime	datetime	office_code	char(3)
display_name	varchar(25)	old_proxy_access_pin	char(4)	password	varchar(10)
last_modified_datetime	datetime	old_proxy_delivery_status	tinyint	email	varchar(100)
		new_proxy_access_pin	char(4)	ssn	char(9)
		new_proxy_delivery_status	tinyint	notification_method	tinyint
		old_email	varchar(100)	web_access	bit
		new_email	varchar(100)	web_trading	bit
				sell_only	bit
				invalid_email	bit
				statements_online	bit
				session_timeout	int
				loginfails	int
				last_accoress	datetime
				proxy_delivery_status	tinyint
				proxy_access_pin	varchar(4)
				activation_date	smalldatetime
				activated_by	varchar(6)
				ivr_pin	varchar(4)
				day_trader	bit
				ivr_lockout	bit
				last_updated	datetime
				voice_callback	char(12)
				agreement_status	char(4)
tbl_customer_note					
<u>customer_note_id</u>	int <i>&lt;pk&gt;</i>	account	char(8)	note	varchar(8000)
		note	datetime	note_created	datetime
				note_last_updated	datetime

Figure 13c

Title: System And Method For The Automated Brokerage  
 Of Financial Instruments  
 Inventor(s): Tully et al.  
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profiles_original	
customer	varchar(10)
broker	varchar(20)
first_name	varchar(50)
last_name	varchar(50)
address_1	varchar(40)
address_2	varchar(40)
city	varchar(30)
state	varchar(20)
zip	varchar(10)
pin	varchar(4)
voice_callback	varchar(20)
fax_callback	varchar(20)
notification_method	varchar(20)
quote_balance	decimal(10,2)
group_number	int
ivr_trading	bit
pc_trading	bit
web_trading	bit
margin_agreement	bit
option_agreement	bit
touched	datetime
office_code	varchar(10)
password	varchar(10)
customer_type	varchar(40)
email	varchar(100)
reg_rep	varchar(10)
option_purchase	int
option_covered	int
administrator	int
cancel_flag	int
short_name	varchar(40)
admin_level	int
allow_place_trades	int
ivr_time	int
ssn	varchar(9)
scheme_name	varchar(20)
web_group	int
expiration_minutes	int
invalid_email	bit
AMEX_agreement	bit
AMEX_agreement_version	varchar(10)
AMEX_agreement_date	smalldatetime
OPRA_agreement	bit
OPRA_agreement_version	varchar(10)
OPRA_agreement_date	smalldatetime
NYSE_agreement	bit
NYSE_agreement_version	varbinary(10)
NYSE_agreement_date	smalldatetime
cookies_time	smalldatetime
statements_online	bit
proxy_delivery_status	tinyint
proxy_access_pin	varchar(4)
day_trader	bit

Figure 13d

profiles	
customer	varchar(10)
broker	varchar(20)
first_name	varchar(50)
last_name	varchar(50)
address_1	varchar(40)
address_2	varchar(40)
city	varchar(30)
state	varchar(20)
zip	varchar(10)
pin	varchar(4)
voice_callback	varchar(20)
fax_callback	varchar(20)
notification_method	varchar(20)
quote_balance	decimal(10,2)
group_number	int
ivr_trading	bit
pc_trading	bit
web_trading	bit
margin_agreement	bit
option_agreement	bit
touched	datetime
office_code	varchar(10)
password	varchar(10)
customer_type	varchar(40)
email	varchar(100)
reg_rep	varchar(10)
option_purchase	int
option_covered	int
administrator	int
cancel_flag	int
short_name	varchar(40)
admin_level	int
allow_place_trades	int
ivr_time	int
ssn	varchar(9)
scheme_name	varchar(20)
web_group	int
expiration_minutes	int
invalid_email	bit
AMEX_agreement	bit
AMEX_agreement_version	varchar(10)
AMEX_agreement_date	smalldatetime
OPRA_agreement	bit
OPRA_agreement_version	varchar(10)
OPRA_agreement_date	smalldatetime
NYSE_agreement	bit
NYSE_agreement_version	varchar(50)
NYSE_agreement_date	smalldatetime
cookies_time	smalldatetime
statements_online	bit
proxy_delivery_status	tinyint
proxy_access_pin	varchar(4)
day_trader	bit

Figure 13e

agreement_status_opra_audit		agreement_status_nyse_audit		agreement_status_nasdaq_audit	
customer	char(8)	customer	char(8)	customer	char(8)
agreement_id	int	agreement_id	int	agreement_id	char(8)
pro_status	tinyint	pro_status	tinyint	int	int
signed	tinyint	signed	tinyint	tinyint	tinyint
first_name	varchar(50)	first_name	varchar(50)	subscriber	varchar(100)
last_name	varchar(50)	last_name	varchar(50)	signature	varchar(100)
address1	varchar(50)	address1	varchar(50)	signature_date	varchar(100)
address2	varchar(50)	address2	varchar(50)	agent_name	datetime
city	varchar(50)	city	varchar(50)	title	varchar(100)
state	char(2)	state	char(2)	title_other	varchar(100)
zip	varchar(10)	zip	varchar(10)	change_datetime	datetime
country	varchar(50)	country	varchar(50)	action_performed	char(1)
birthdate	datetime	birthdate	datetime	username	varchar(40)
change_datetime	datetime	change_datetime	datetime	username	tinyint
action_performed	char(1)	action_performed	char(1)	amax_pro_status	varchar(40)
username	varchar(40)	username	varchar(40)		

Figure 13f

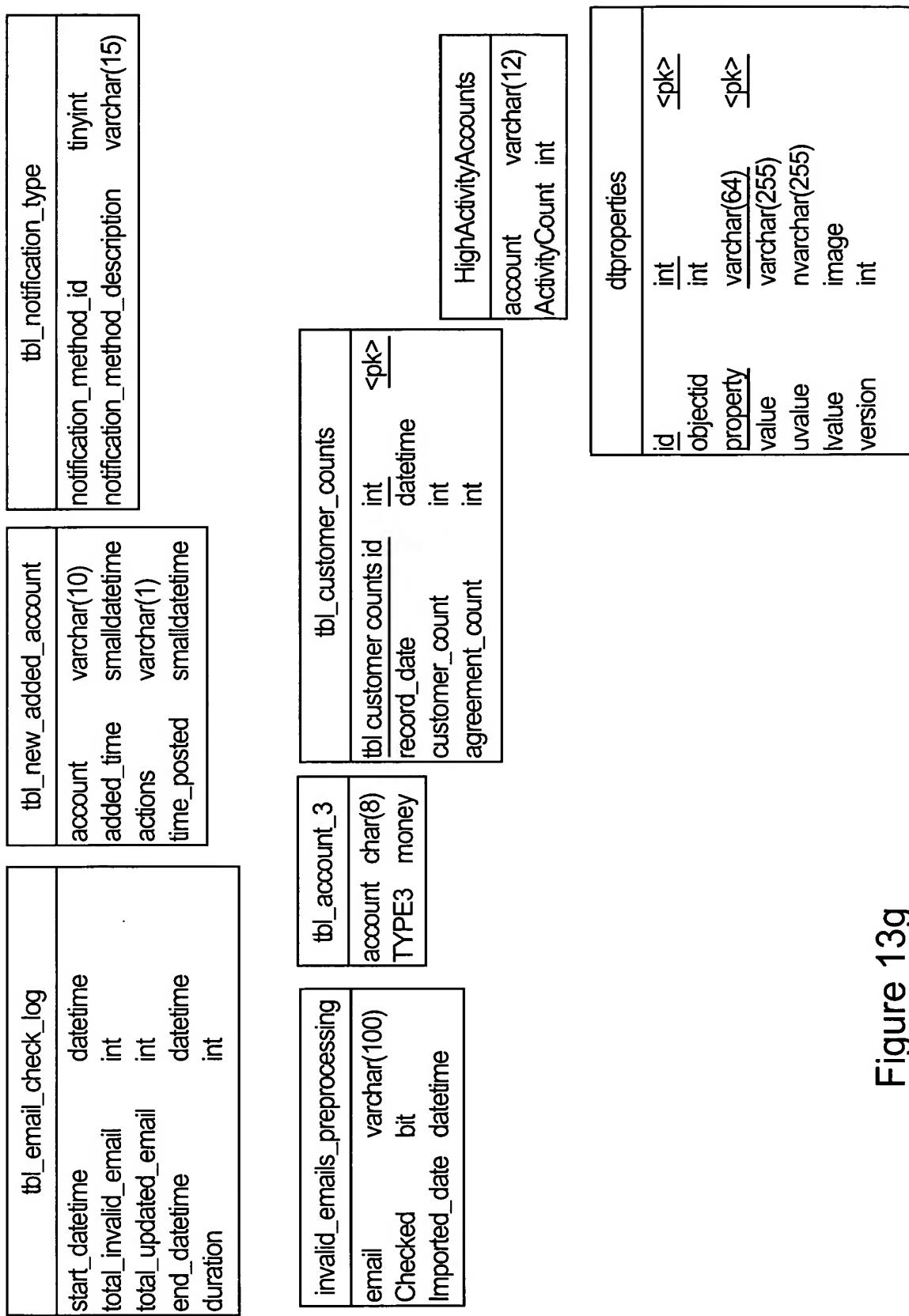


Figure 13g

profiles_backup_20021021_2000	
customer	varchar(10)
broker	varchar(20)
first_name	varchar(50)
last_name	varchar(50)
address_1	varchar(40)
address_2	varchar(40)
city	varchar(30)
state	varchar(20)
zip	varchar(10)
pin	varchar(4)
voice_callback	varchar(20)
fax_callback	varchar(20)
notification_method	varchar(20)
quote_balance	decimal(10,2)
group_number	int
ivr_trading	bit
pc_trading	bit
web_trading	bit
margin_agreement	bit
option_agreement	bit
touched	datetime
office_code	varchar(10)
password	varchar(10)
customer_type	varchar(40)
email	varchar(100)
reg_rep	varchar(10)
option_purchase	int
option_covered	int
administrator	int
cancel_flag	int
short_name	varchar(40)
admin_level	int
allow_place_trades	int
ivr_time	int
ssn	varchar(9)
scheme_name	varchar(20)
web_group	int
expiration_minutes	int
invalid_email	bit
AMEX_agreement	bit
AMEX_agreement_version	varchar(10)
AMEX_agreement_date	smalldatetime
OPRA_agreement	bit
OPRA_agreement_version	varchar(10)
OPRA_agreement_date	smalldatetime
NYSE_agreement	bit
NYSE_agreement_version	varbinary(10)
NYSE_agreement_date	smalldatetime
cookies_time	smalldatetime
statements_online	bit
proxy_delivery_status	tinyint
proxy_access_pin	varchar(4)
day_trader	bit

Figure 13h

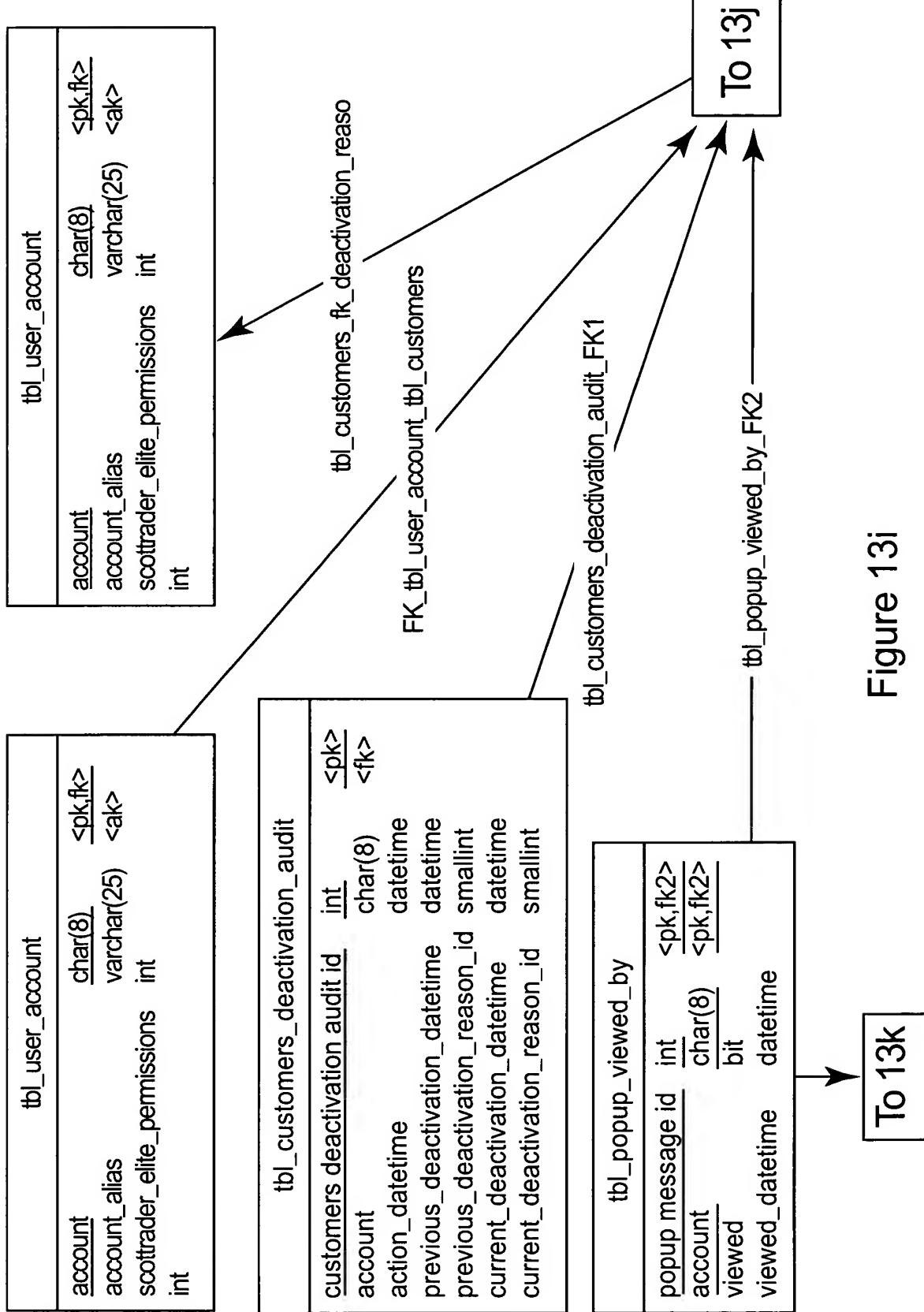


Figure 13i

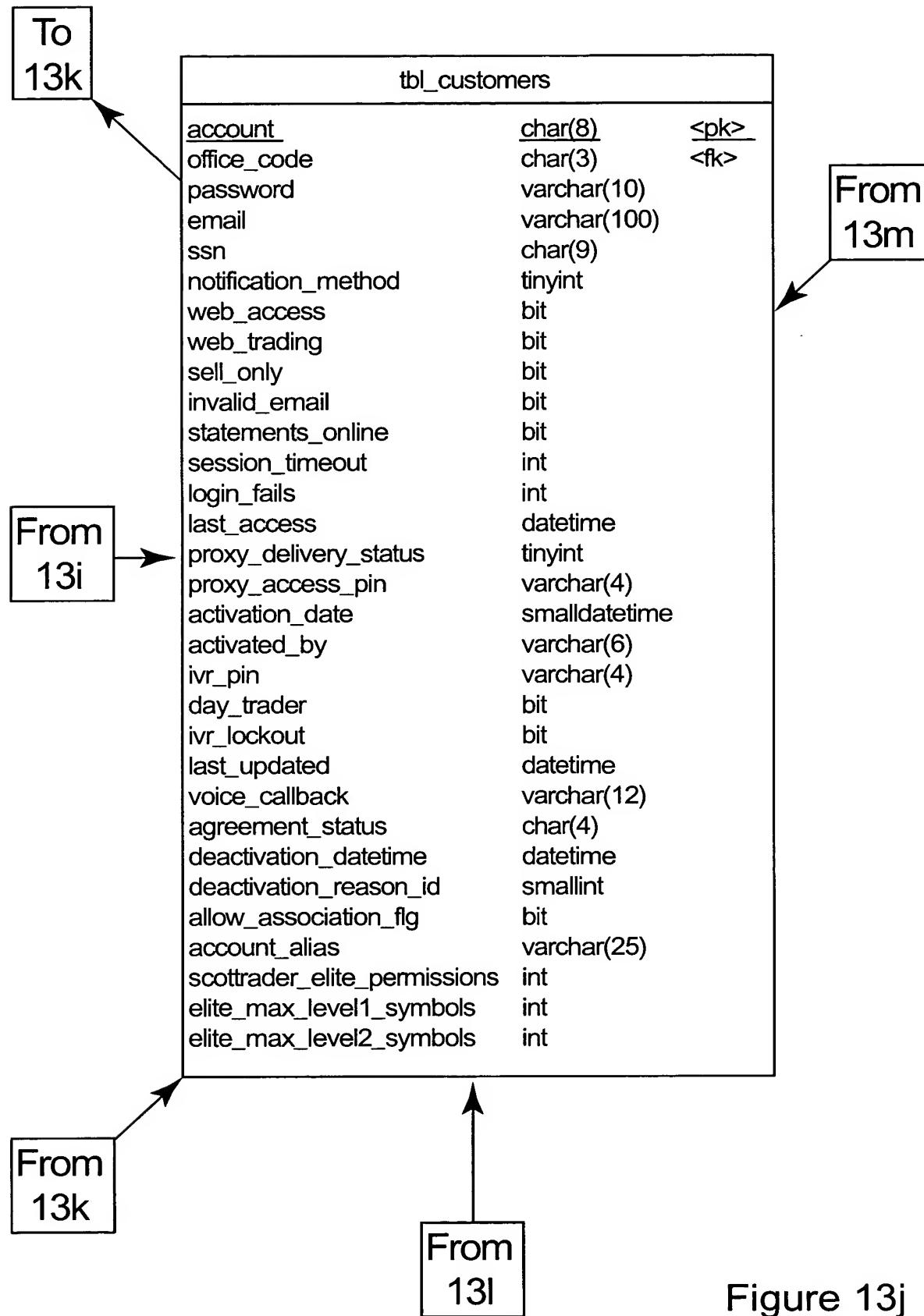


Figure 13j

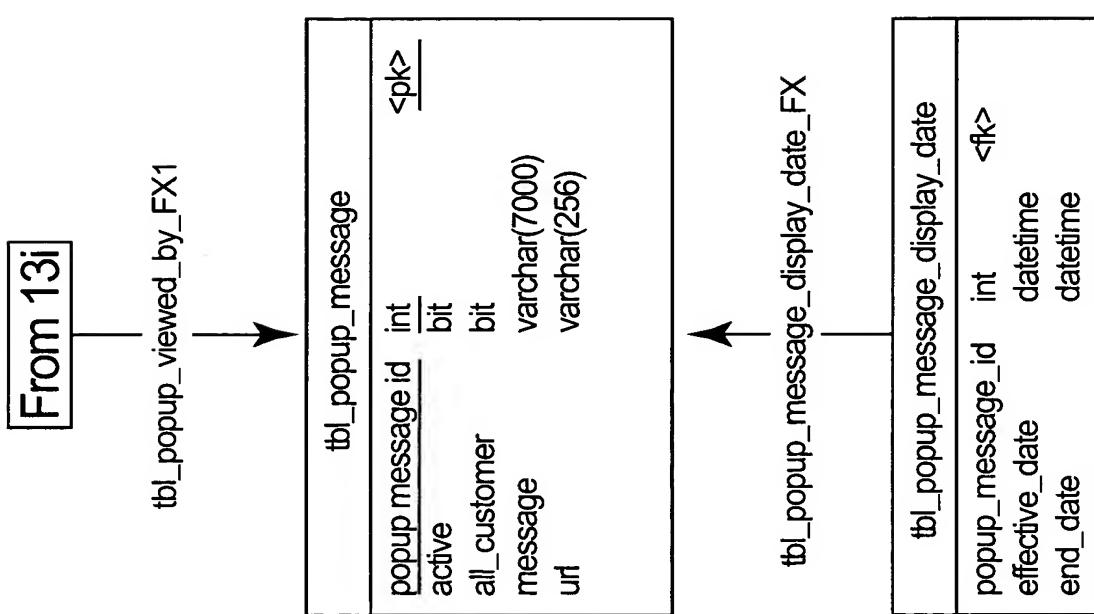
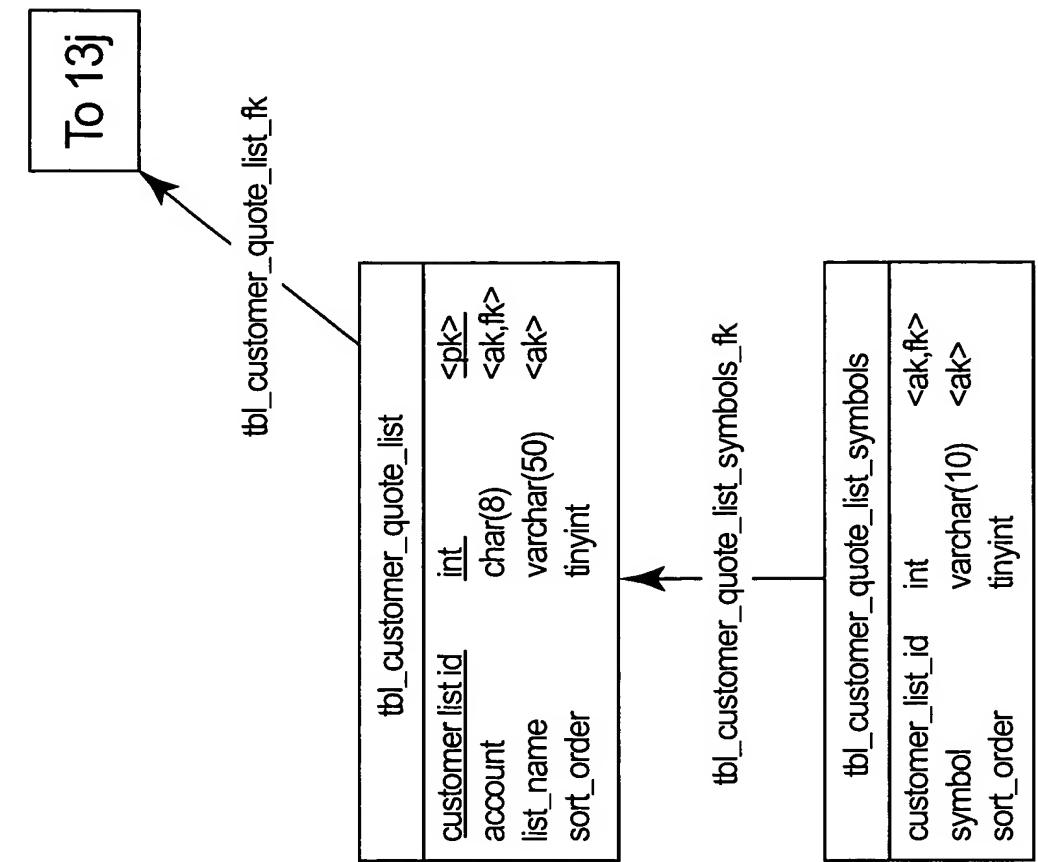


Figure 13k

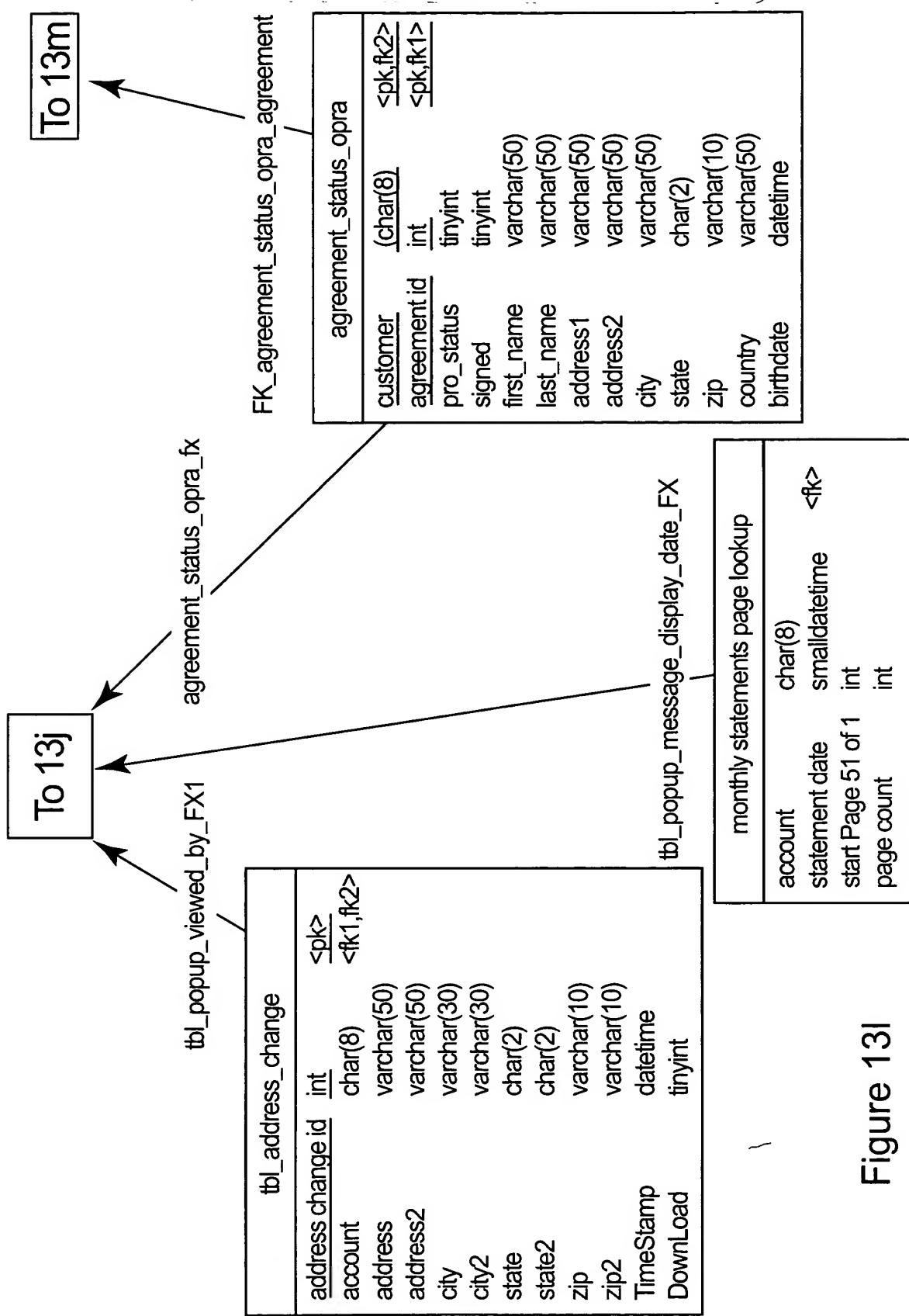


Figure 13|

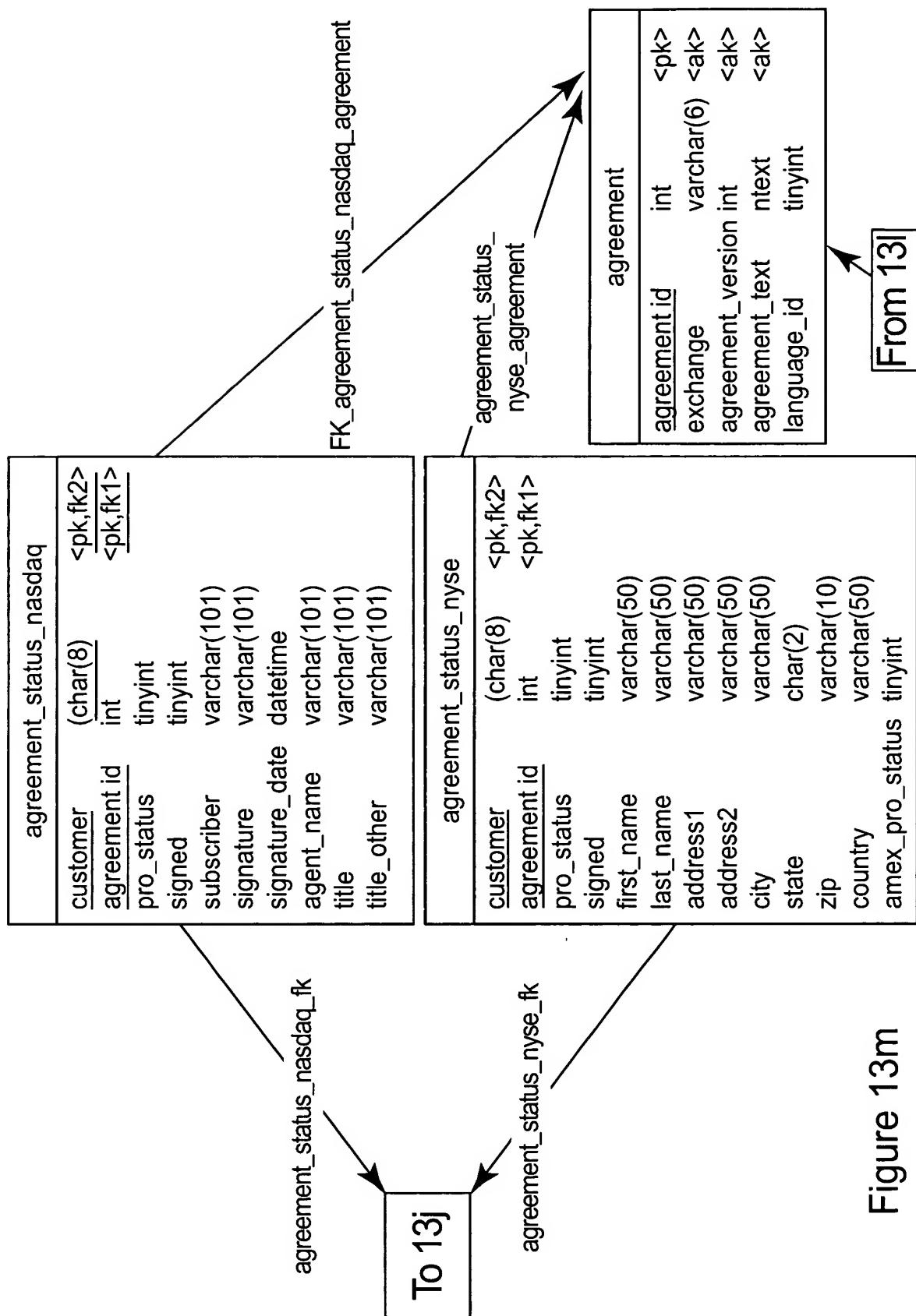
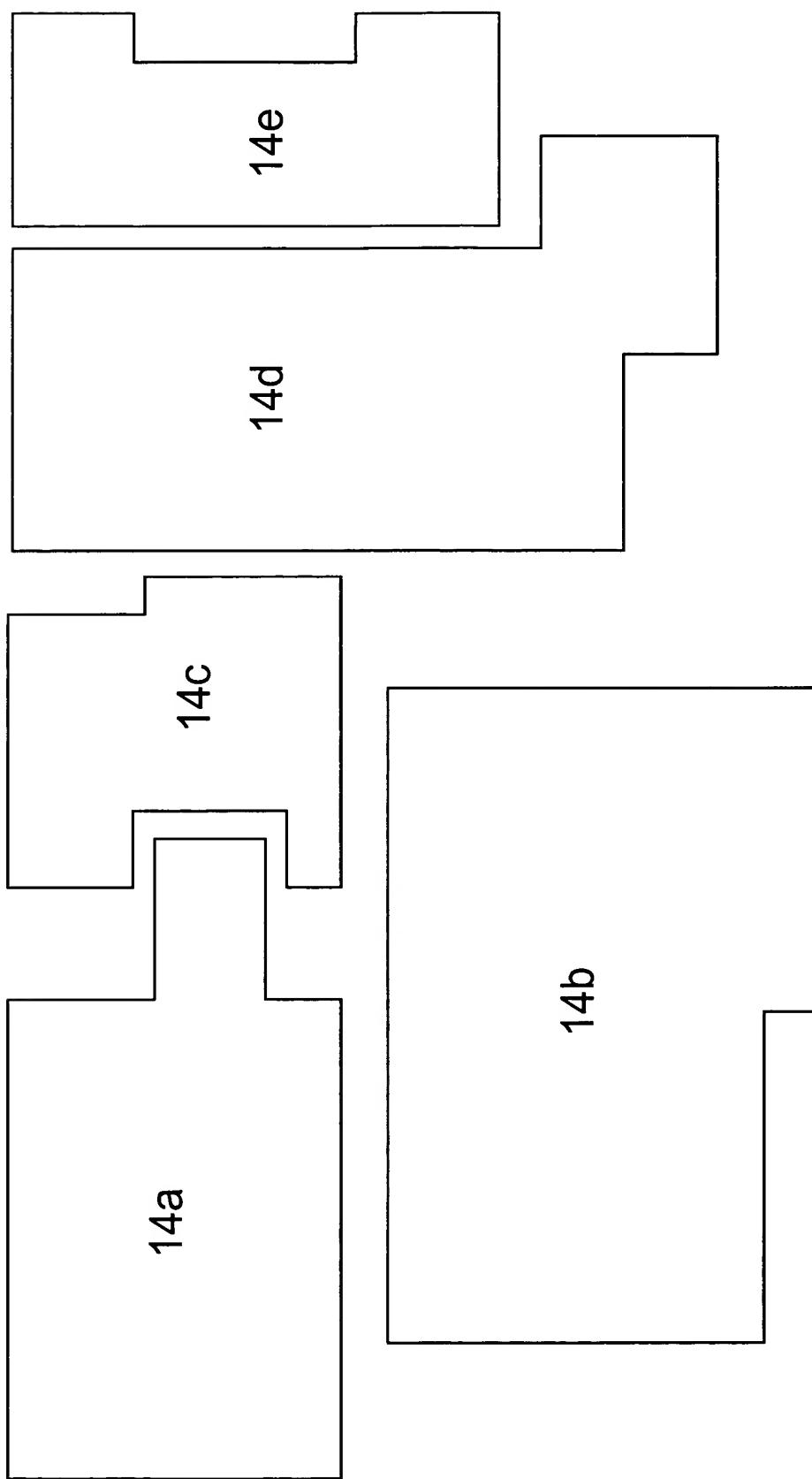


Figure 13m



Orders DB

Figure 14

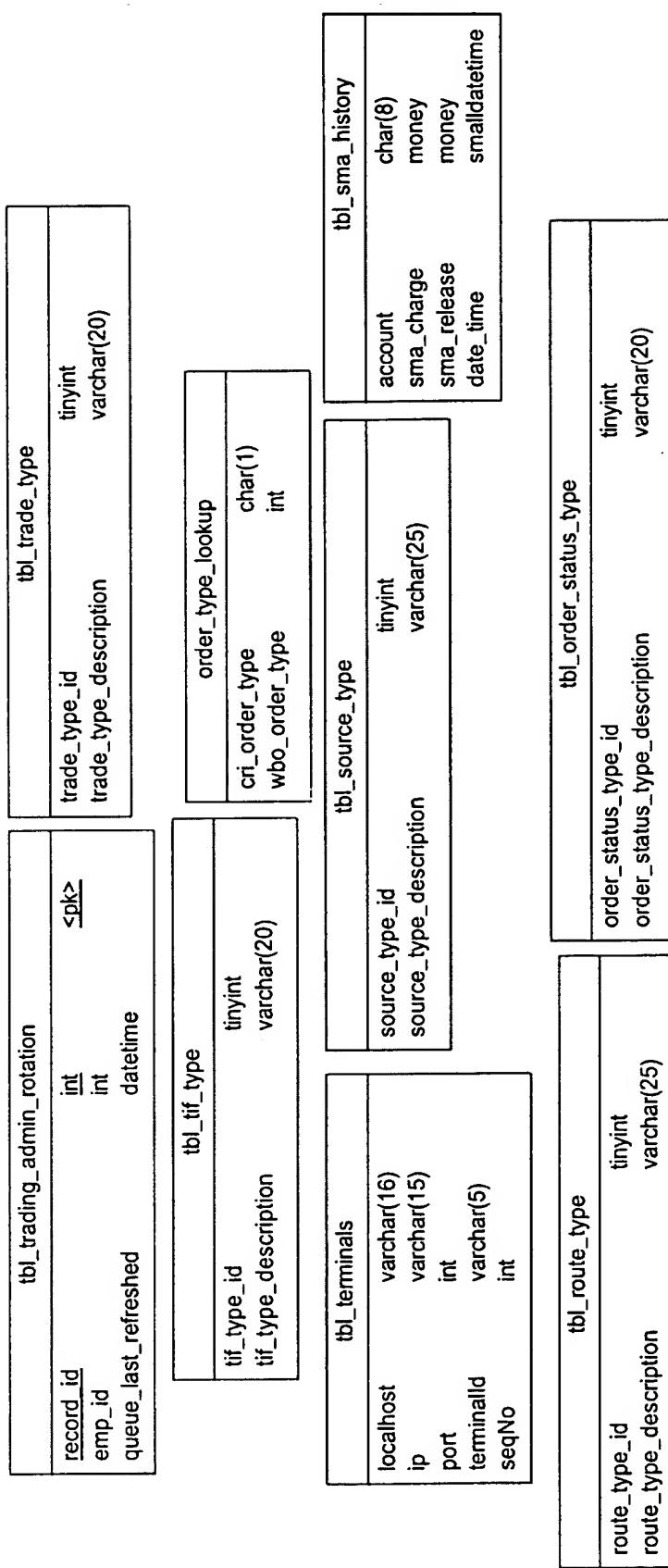


Figure 14a

To Figure 14(d) ← FK\_5tbl\_orders\_tbl\_action\_type →

tbl_orders_audit		tbl_orders	
web_tracking_number	varchar(15)	web_tracking_number	char(15)
reviewing_broker_id	int	fix_tracking_number	char(15)
bid	money	orig_web_tracking_number	char(15)
ask	money	account	char(8)
net_equity	money	branch_code	char(3)
amount	money	order_status	tinyint
open_amount	money	route_type	tinyint
open_shares	int	account_type	tinyint
executions	money	order_type	tinyint
free_cash	money	action_type	tinyint
buying_power	money	symbol	varchar(12)
fed_call	money	quantity	int
trade_balance	money	quantity_filled	int
market_value	money	price_type	tinyint
entry_time	datetime	limit_price	money
ip_address	varchar(16)	stop_price	money
localhost	varchar(16)	tif_type	tinyint
query_string	varchar(255)	trading_session_type	varchar(12)
available_buying_power	money	exec_destination	varchar(10)
positions_shares	int	commission	bit
daytrader_execution_amount	money	dnr	bit
		dni	bit
		aon	bit
		ob	bit
		wi	bit
		fok	bit
		referral_program	bit
		possible_duplicate	bit
		solicited	bit
		minimum_quantity	int
		source_type	tinyint
		entry_time	datetime

Figure 14b

tbl_trade_history	
account	char(8)
account_type_id	int
action_id	int
symbol	varchar(30)
quantity	numeric(15,3)
price	numeric(15,3)
trade_date	smalldatetime
settled_date	smalldatetime
trade_number	int
commission	money
principal	money
tax	money
interest	money
fees	money
description	varchar(50)
last_modified	smalldatetime

tbl_order_results	
web_tracking_number	varchar(15)
result_type	tinyint
result_from_type	tinyint
message	varchar(500)
time_stamp	datetime

Figure 14c

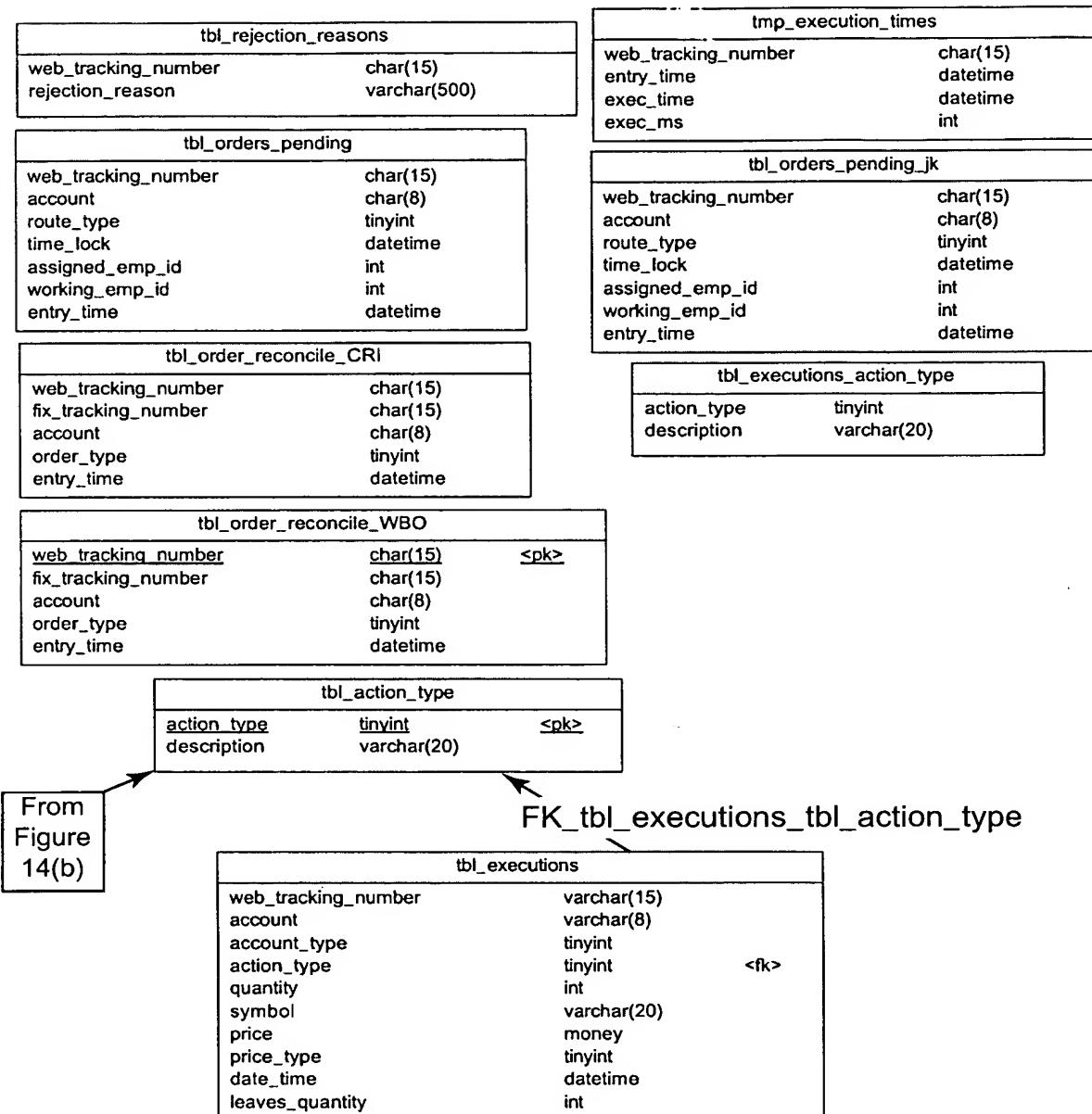
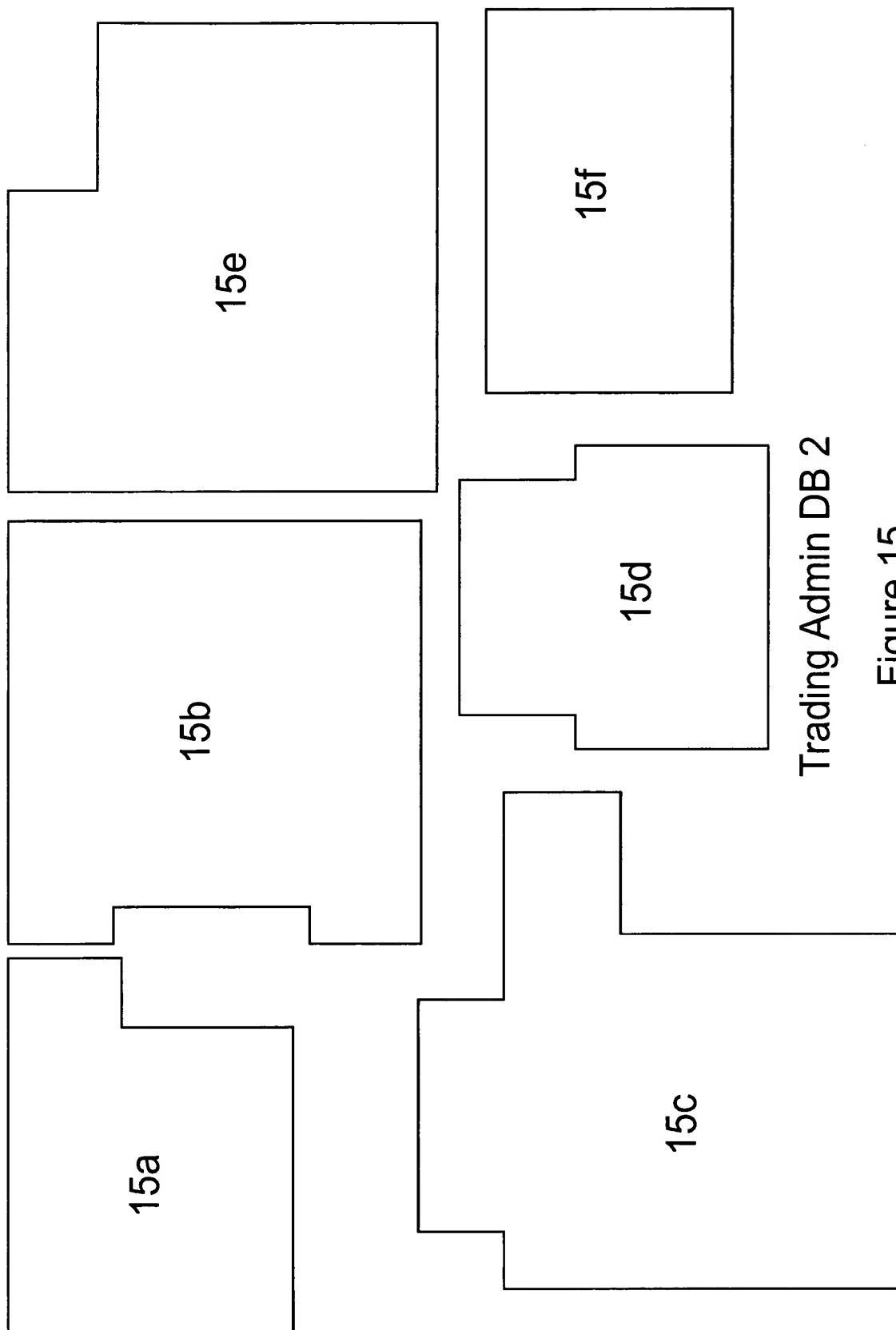


Figure 14d

tbl_trading_session_type	tinyint
trading_session_type_id	varchar(30)
tbl_orders_pending_dr	
web_tracking_number	varchar(15)
account	varchar(8)
route_type	tinyint
time_lock	datetime
locked	bit
assigned_emp_id	smallint
working_emp_id	smallint
entry_time	datetime
ordex_counts	
orders	int
executions	int
ivr_orders	int
ivr_executions	int
ivr_equities	int
ivr_options	int
<u>rpt_date</u>	<u>datetime</u>
executions_filled	<u>int</u>
account_type	
account_type_id	int
account_type_name	varchar(20)

Figure 14e



Trading Admin DB 2

Figure 15

Title: System And Method For The Automated Brokerage  
 Of Financial Instruments  
 Inventor(s): Tully et al.  
 Appl. No. 10/692,067  
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tbl_restrictions_audit		tbl_restrictions		tbl_daily_security_load_staging		tbl_fix_branches	
restrictions_audit_id	int	spk>		columnName	varchar(30)	branch	char(3)
name	varchar(30)				varchar(30)	remote_ip	varchar(15)
audit_datetime	datetime					remote_port	int
previous_value	varchar(256)					local_hostname	varchar(20)
previous_date_changed	datetime					heartbeat_int	int
previous_change_by	varchar(30)					target_comp_id	varchar(6)
new_value	varchar(256)					sender_comp_id	varchar(6)
new_date_changed	datetime					fix_version	varchar(4)
new_change_by	varchar(30)					fix_port_type	int
						port_status	int

Figure 15a

tbl_notification_method_type	tinyint
notification_method_type_id	varchar(25)
notification_method_type_description	
tbl_negative_quantities	
negative_quantities_id	<u>int</u>
account	char(8)
office_code	char(3)
message	varchar(50)
acknowledge	tinyint
date_time	smalldatetime
tbl_security_update_from_SQL1	
symbol	varchar(9)
route	tinyint
trade_during_extended_hours	bit
option_chain_disallowed	bit
margin_requirement_percent	tinyint
trading_action_bitmask	tinyint
tbl_short_archive	
shorts_archive_id	<u>int</u>
cusip	char(10)
description	varchar(60)
symbol	varchar(10)
total_shares_available_for_short	int
processed_date	smalldatetime

Figure 15b

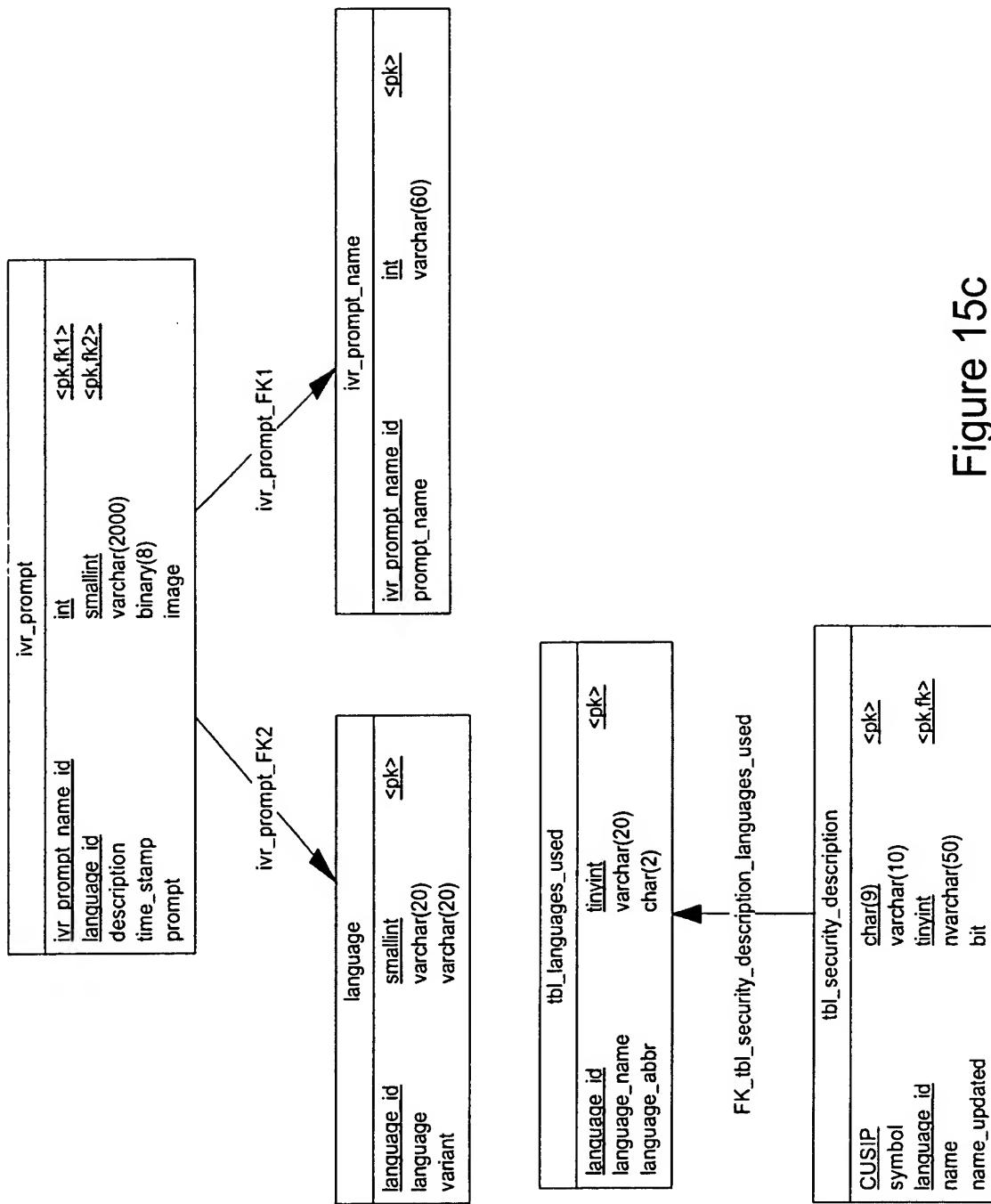


Figure 15C

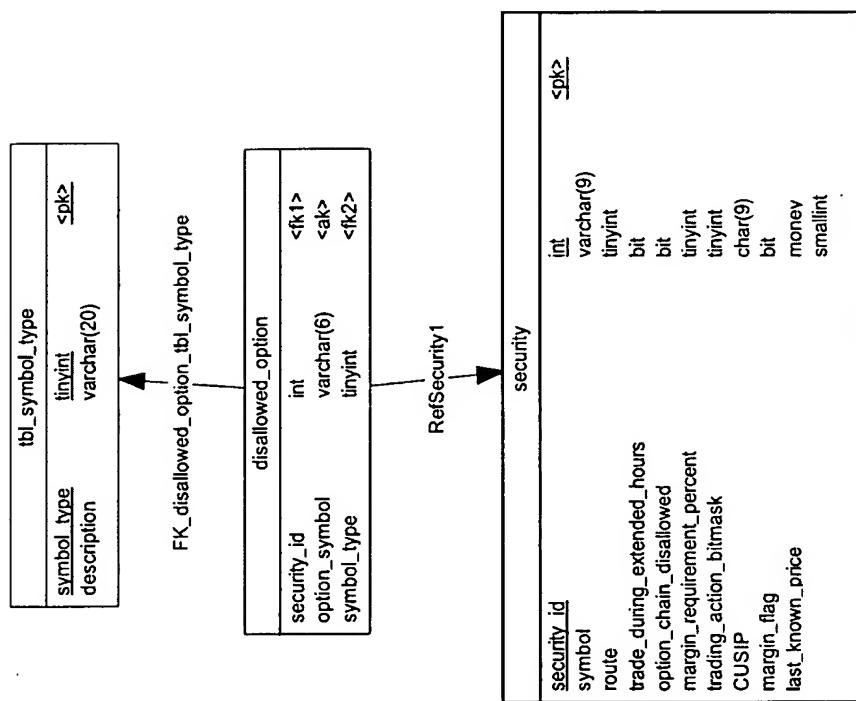


Figure 15d

Title: System And Method For The Automated Brokerage  
 Of Financial Instruments  
 Inventor(s): Tully et al.  
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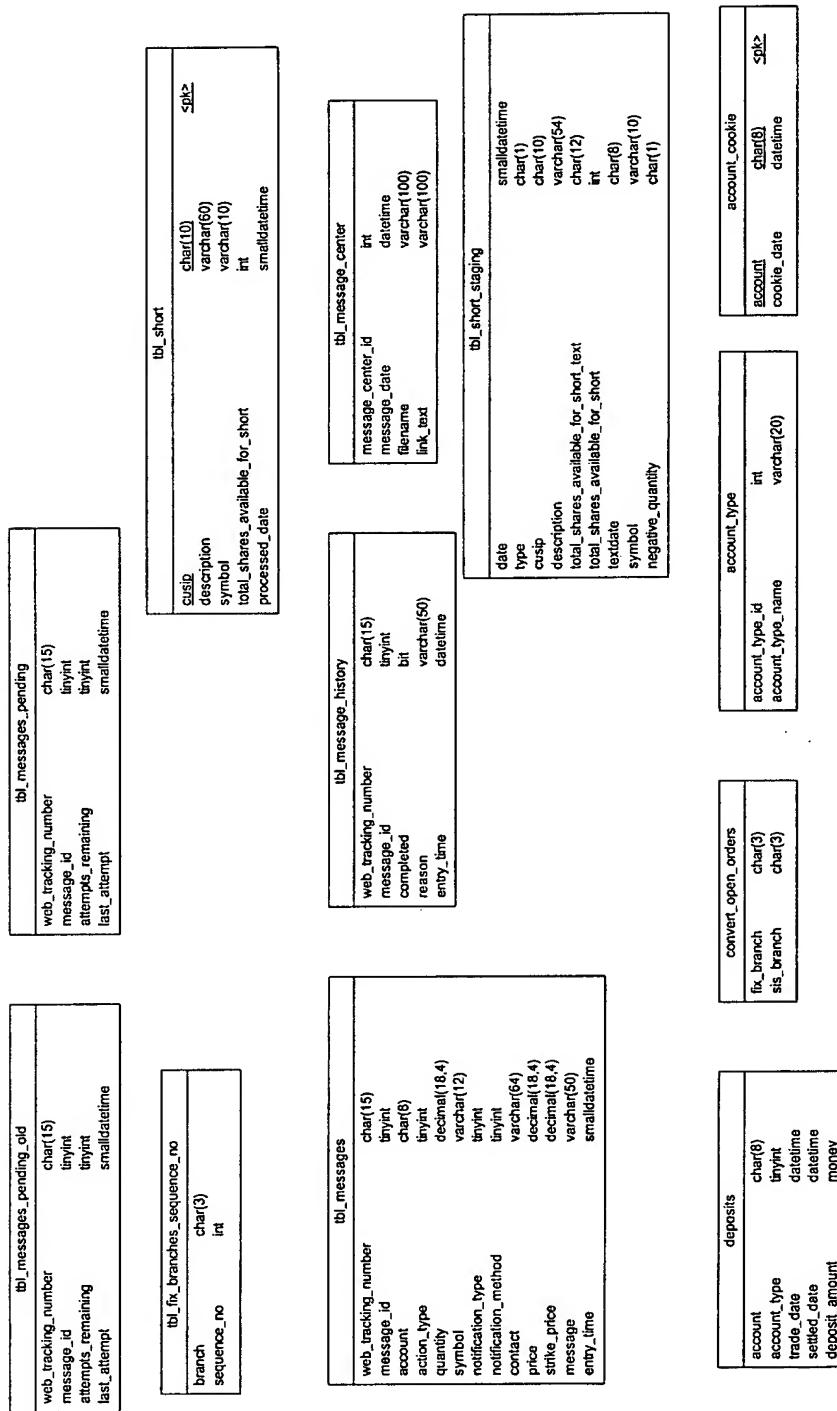


Figure 15e

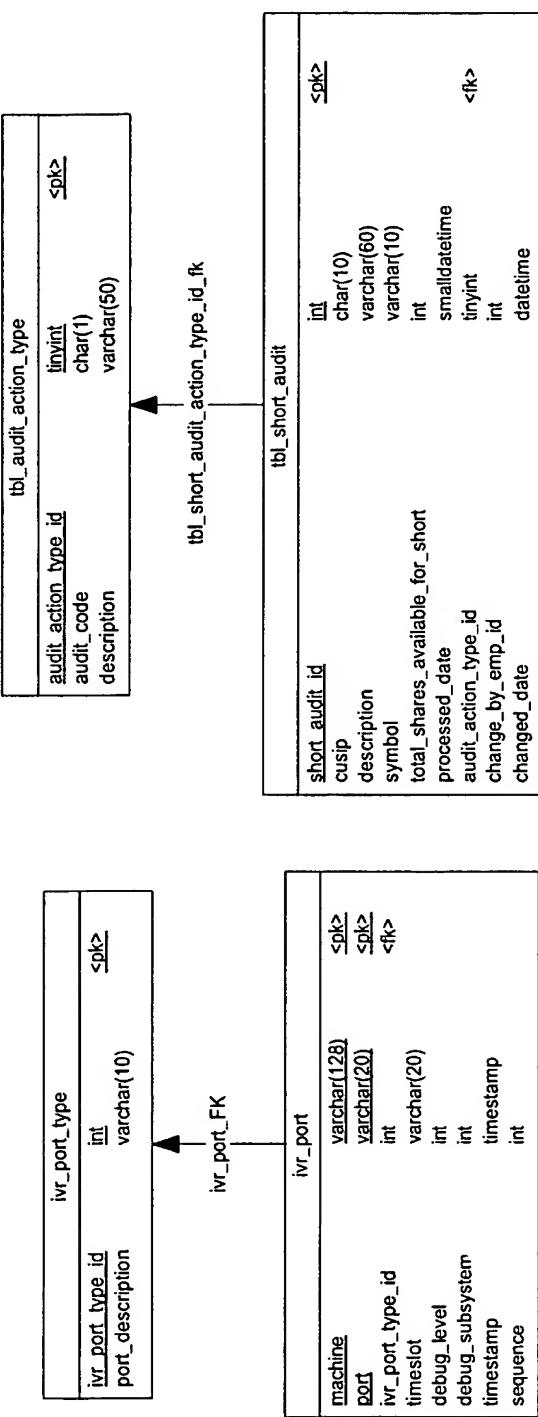


Figure 15f

Trading (jdoe) Admin

Indiv  Group Approval Queue (Hide)  Symbol Admin  Option Admin  Trading Control  History

Do Not Use Browser Back/Forward Buttons

Approval (Group)

Disable Auto Refresh (2-2)  
(disable Auto Refresh to enable Flush Queue option)

Show 15  Orders

Orders: 2 N = New ORder : M = Modify Order : X = Cancel Order 10/14/2003 3:36:48 PM

Manual	Account	Market Side	Quantity	Symbol	Price	TIF	Action	Assigned	Working	Display	Done	Flush <input type="button" value="▼"/>
	55822397	Sell to Open	1	.AMRBM	M	Day	N	bbreer		Brief	Done	
	76631739	Sell to Open	3	.BKKG	M	Day	N	rdemning		Brief	Done	

Figure 16a

Do Not Use Browser Back/Forward Buttons																																													
<div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;"> <input type="text"/> Order Approval       </div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;"> <input type="text"/> Reason Selection:         <div style="float: right;">▼</div> </div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;"> <input type="text"/> Reason Text:         <div style="float: right;">▼</div> </div> <div style="display: flex; justify-content: space-around;"> <input style="width: 150px; height: 40px; border: 1px solid black; border-radius: 5px; padding: 5px; margin-right: 10px; font-size: 14px; font-weight: bold; text-align: center; text-decoration: none; color: black; background-color: white; font-family: inherit; border-collapse: collapse; outline: none; font-size: 14px; font-weight: bold; text-align: center; text-decoration: none; color: black; background-color: white; font-family: inherit; border-collapse: collapse; outline: none;" type="button" value="Approve"/> <input style="width: 150px; height: 40px; border: 1px solid black; border-radius: 5px; padding: 5px; margin-right: 10px; font-size: 14px; font-weight: bold; text-align: center; text-decoration: none; color: black; background-color: white; font-family: inherit; border-collapse: collapse; outline: none;" type="button" value="Reject"/> <input style="width: 150px; height: 40px; border: 1px solid black; border-radius: 5px; padding: 5px; margin-right: 10px; font-size: 14px; font-weight: bold; text-align: center; text-decoration: none; color: black; background-color: white; font-family: inherit; border-collapse: collapse; outline: none;" type="button" value="Done"/> <input style="width: 150px; height: 40px; border: 1px solid black; border-radius: 5px; padding: 5px; font-size: 14px; font-weight: bold; text-align: center; text-decoration: none; color: black; background-color: white; font-family: inherit; border-collapse: collapse; outline: none;" type="button" value="Cancel Edit"/> </div>																																													
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 10%;">Account</th> <th style="width: 10%;">Status</th> <th style="width: 10%;">Route</th> <th style="width: 10%;">Order</th> <th style="width: 10%;">Action</th> <th style="width: 10%;">Quantity</th> <th style="width: 10%;">Symbol</th> <th style="width: 10%;">Price</th> <th style="width: 10%;">TIF</th> <th style="width: 10%;">AON</th> </tr> </thead> <tbody> <tr> <td>123xyz</td> <td>Pending Modify</td> <td>Fix</td> <td>New</td> <td>Sell to Open</td> <td>120</td> <td>.QQQJ</td> <td>1015</td> <td>Day</td> <td>Yes</td> </tr> <tr> <td>Mod</td> <td>123xyz</td> <td>Sent</td> <td>Approval</td> <td>Modify</td> <td>120</td> <td>.QQQJ</td> <td>101</td> <td>Day</td> <td>Yes</td> </tr> </tbody> </table> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 10%;">Margin</th> <th style="width: 10%;">Buying Power</th> <th style="width: 10%;">Trading Cash</th> </tr> </thead> <tbody> <tr> <td>1,200.00</td> <td>38,652.00</td> <td>-346,064.21</td> </tr> </tbody> </table>										Account	Status	Route	Order	Action	Quantity	Symbol	Price	TIF	AON	123xyz	Pending Modify	Fix	New	Sell to Open	120	.QQQJ	1015	Day	Yes	Mod	123xyz	Sent	Approval	Modify	120	.QQQJ	101	Day	Yes	Margin	Buying Power	Trading Cash	1,200.00	38,652.00	-346,064.21
Account	Status	Route	Order	Action	Quantity	Symbol	Price	TIF	AON																																				
123xyz	Pending Modify	Fix	New	Sell to Open	120	.QQQJ	1015	Day	Yes																																				
Mod	123xyz	Sent	Approval	Modify	120	.QQQJ	101	Day	Yes																																				
Margin	Buying Power	Trading Cash																																											
1,200.00	38,652.00	-346,064.21																																											
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="10">Results</th> </tr> <tr> <th style="width: 10%;">Web Tracking Number</th> <th style="width: 10%;">Result Type</th> <th style="width: 10%;">Result From</th> <th style="width: 10%;">Message</th> <th style="width: 10%;">Time Stamp</th> <th colspan="5"></th> </tr> </thead> <tbody> <tr> <td>PS8815920031014</td> <td>Re-route</td> <td>Rules</td> <td>Option Sell Call to Open</td> <td>10/14/2003 3:41:54 PM</td> <td colspan="5"></td> </tr> </tbody> </table>										Results										Web Tracking Number	Result Type	Result From	Message	Time Stamp						PS8815920031014	Re-route	Rules	Option Sell Call to Open	10/14/2003 3:41:54 PM											
Results																																													
Web Tracking Number	Result Type	Result From	Message	Time Stamp																																									
PS8815920031014	Re-route	Rules	Option Sell Call to Open	10/14/2003 3:41:54 PM																																									
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="10">.QQQJ Quote</th> </tr> <tr> <th style="width: 10%;">Market</th> <th style="width: 10%;">Last</th> <th style="width: 10%;">Change</th> <th style="width: 10%;">Size</th> <th style="width: 10%;">Bid</th> <th style="width: 10%;">Ask</th> <th style="width: 10%;">B/A Size</th> <th style="width: 10%;">High</th> <th style="width: 10%;">Low</th> <th style="width: 10%;">Volume</th> </tr> </thead> <tbody> <tr> <td>CBOE</td> <td>+0.10</td> <td>-0.05</td> <td>10</td> <td>-0.05</td> <td>0.15</td> <td>24134 x 31964</td> <td>0.10</td> <td>0.05</td> <td>7,323</td> </tr> </tbody> </table>										.QQQJ Quote										Market	Last	Change	Size	Bid	Ask	B/A Size	High	Low	Volume	CBOE	+0.10	-0.05	10	-0.05	0.15	24134 x 31964	0.10	0.05	7,323						
.QQQJ Quote																																													
Market	Last	Change	Size	Bid	Ask	B/A Size	High	Low	Volume																																				
CBOE	+0.10	-0.05	10	-0.05	0.15	24134 x 31964	0.10	0.05	7,323																																				

Figure 16b

Indiv	Group	Approval Queue	Symbol Admin	Option Admin	Trading control	History					
<input type="text" value="123xyz"/> Symbol: <input type="text"/> Tracking #: <input type="text"/>		<input type="checkbox"/> Web <input type="checkbox"/> IVR <input type="checkbox"/> Scotttrader <input type="checkbox"/> Scotttrader Elite <input type="checkbox"/> Wireless <input type="checkbox"/> Approval		<input type="checkbox"/> Fix <input type="checkbox"/> Manual <input type="checkbox"/> Approval <input type="checkbox"/> Queued <input type="checkbox"/> Rejected <input type="checkbox"/> Messages							
*Start Date: <input type="text"/> 10 <input type="button" value="▼"/> <input type="text"/> 13 <input type="button" value="▼"/> <input type="text"/> 2003 <input type="button" value="▼"/> <input type="text"/> 00 <input type="button" value="▼"/> <input type="text"/> 01 <input type="button" value="▼"/> <input type="text"/> AM <input type="button" value="▼"/> *End Date: <input type="text"/> 10 <input type="button" value="▼"/> <input type="text"/> 14 <input type="button" value="▼"/> <input type="text"/> 2003 <input type="button" value="▼"/> <input type="text"/> 11 <input type="button" value="▼"/> <input type="text"/> 59 <input type="button" value="▼"/> <input type="text"/> PM <input type="button" value="▼"/>											
#	Action	Source/Route	Action	Qty	Symbol	Price	TIF	Account	Date	Tracking #	Org Track#
1	New	Wireless/Fix	Buy	1	<u>EMC</u>	<u>L5</u>	<u>Day</u>	<u>123xyz</u>	10/14/2003 3:30:00 PM	<u>XGAS13220031014</u>	
2	Cancel	Approval/Fix	Buy	1	<u>GE</u>	<u>M</u>	<u>Day</u>	<u>123xyz</u>	10/14/2003 8:57:12 PM	<u>XGA113020031014</u>	<u>XXB328920031013</u>
3	Cancel	Web/Approval	Buy	1	<u>GE</u>	<u>M</u>	<u>Day</u>	<u>123xyz</u>	10/14/2003 8:57:04 PM	<u>PS6855020031014</u>	<u>XXB328920031013</u>
4	New	Web/Fix	Buy	1	<u>GE</u>	<u>M</u>	<u>Day</u>	<u>123xyz</u>	10/13/2003 5:57:38 PM	<u>XXB328920031013</u>	
5	New	Elite/Fix	Buy	1	<u>RTRSY</u>	<u>L15</u>	<u>Day</u>	<u>123xyz</u>	10/13/2003 5:12:16 PM	<u>XAB736120031013</u>	
6	New	Elite/None	Sell	1	<u>RTRSY</u>	<u>M</u>	<u>Day</u>	<u>123xyz</u>	10/13/2003 5:11:50 PM	<u>ES1282920031013</u>	
7	New	Elite/None	Sell	1	<u>RTRSY</u>	<u>M</u>	<u>Day</u>	<u>123xyz</u>	10/13/2003 5:11:48 PM	<u>ES8631520031013</u>	
8	New	Elite/Fix	Sell	2	<u>MSFT</u>	<u>L40</u>	<u>Day</u>	<u>123xyz</u>	10/13/2003 5:02:58 PM	<u>XLA242520031013</u>	

Figure 16c

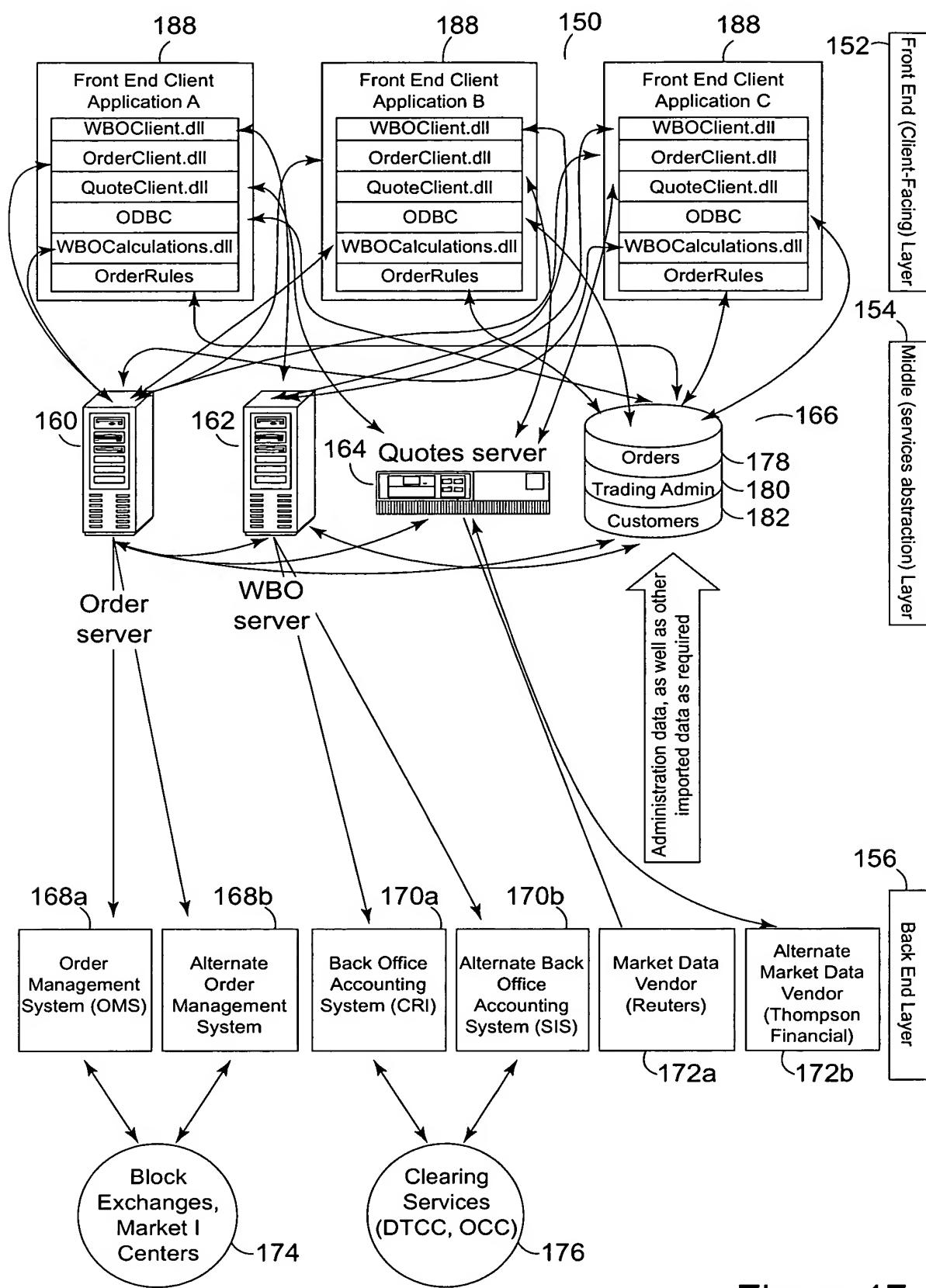


Figure 17

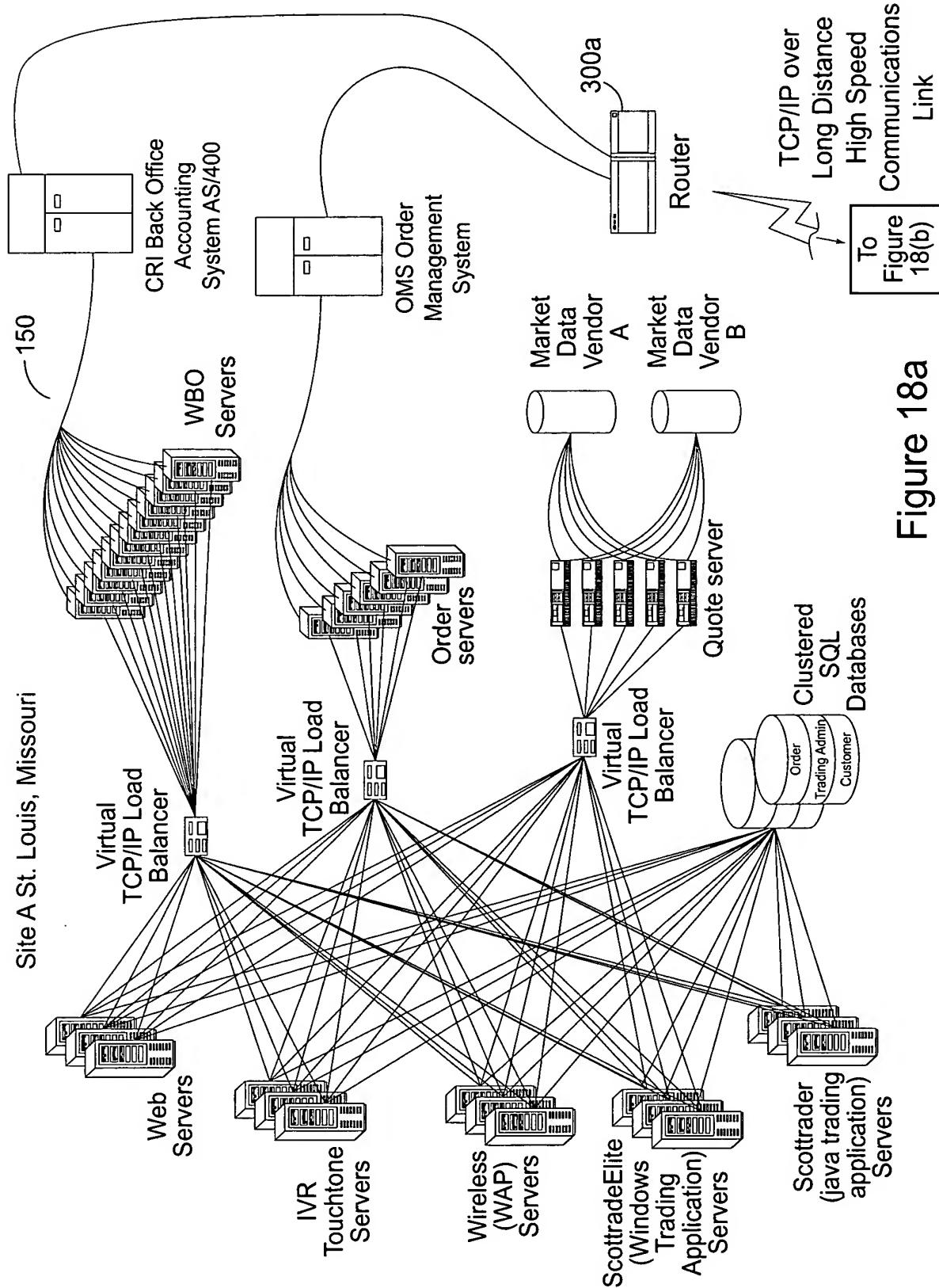


Figure 18a

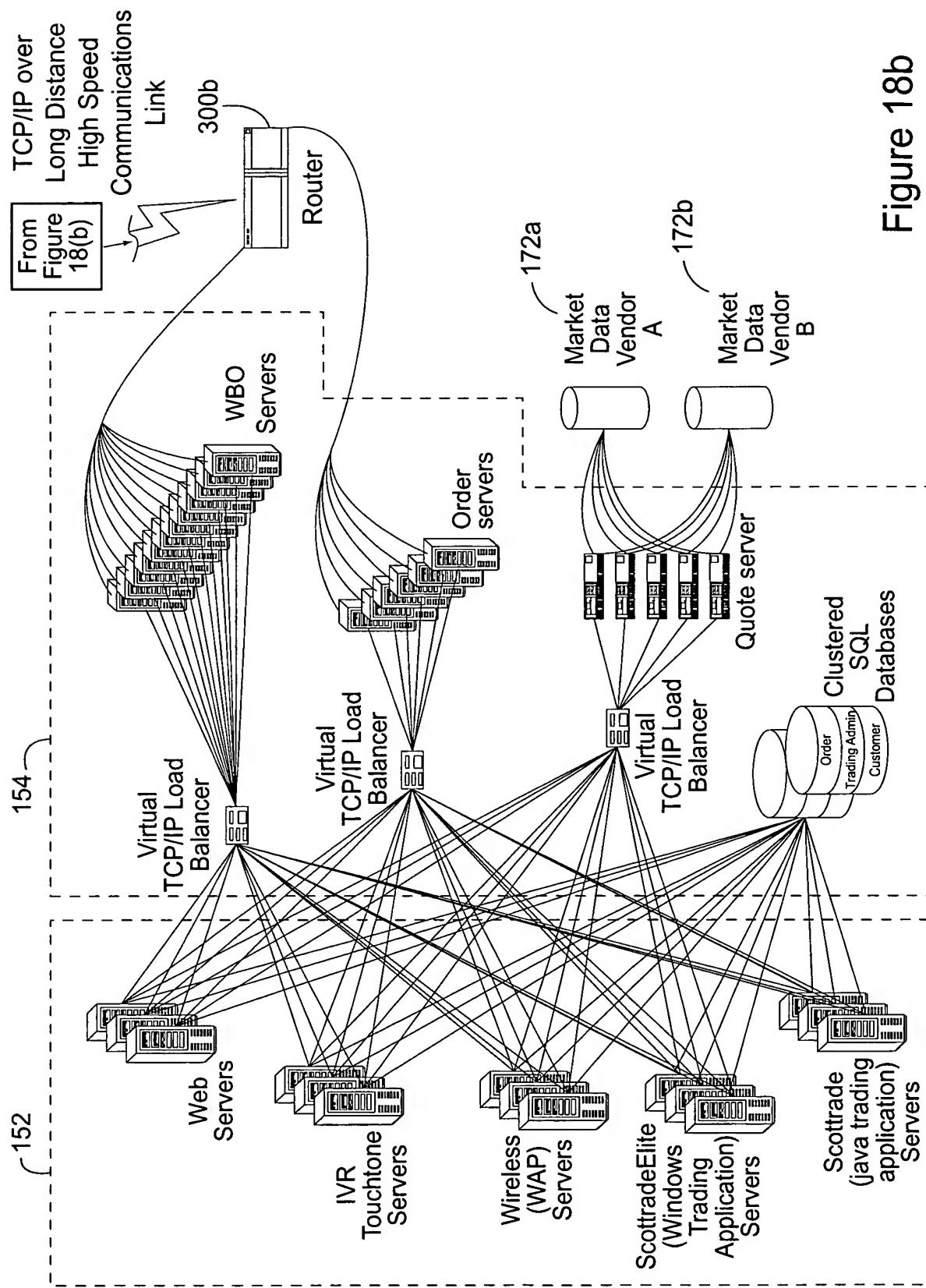


Figure 18b

Title: System And Method For The Automated Brokerage  
 Of Financial Instruments  
 Inventor(s): Tully et al.  
 Appl. No. 10/692,067  
 Docket # 36194/42366

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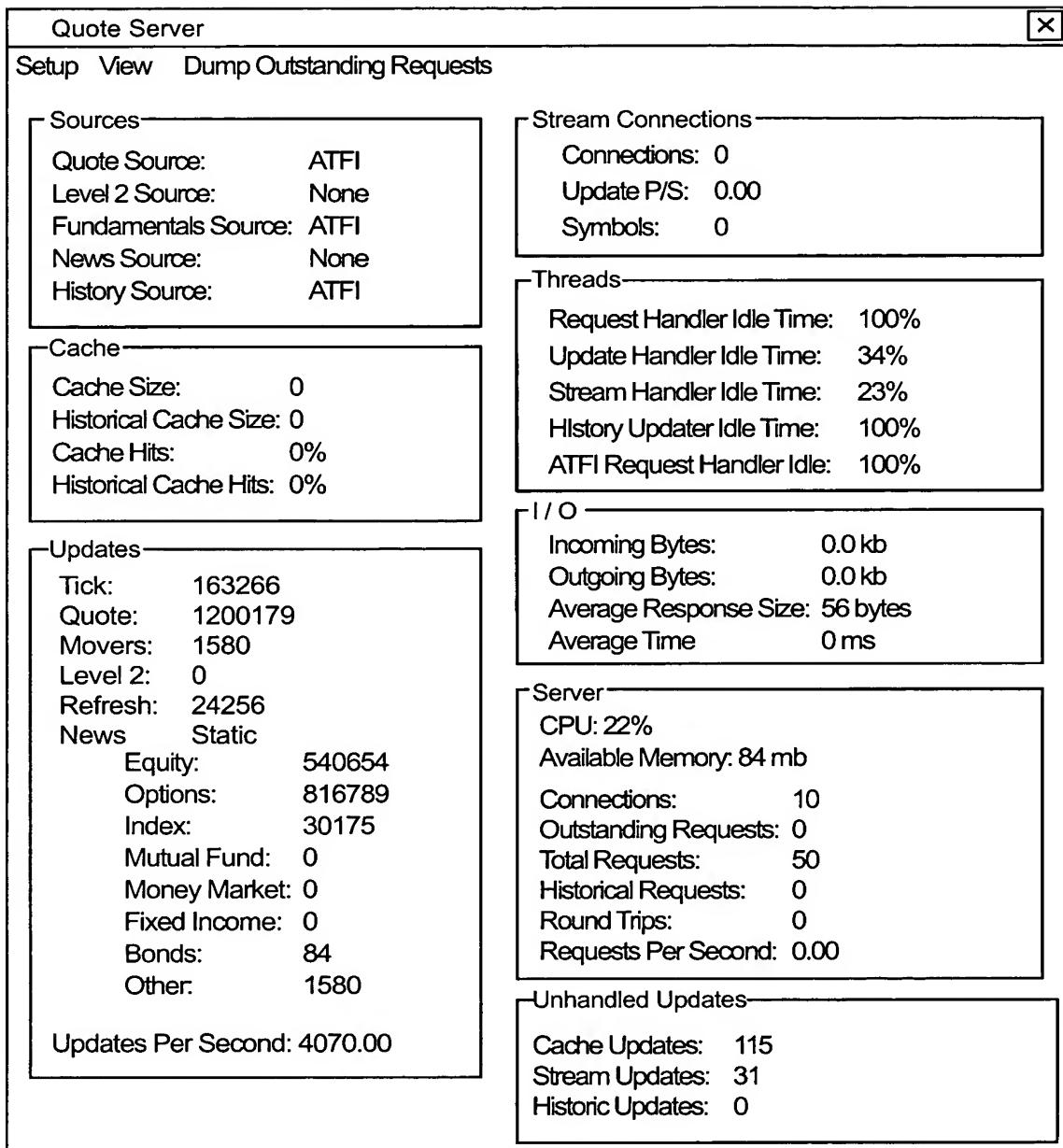


Figure 19a

Configure X

Quote Source:	ATFI	Restart	<input checked="" type="checkbox"/> Cache	<input checked="" type="checkbox"/> Cache Movers
Level2 Source:	Bridge	Restart		
Fundamentals Source:	ATFI	Restart		
News Source:	None	Restart		
History Source:	ATFI	Restart	<input checked="" type="checkbox"/> Cache	
<b>General</b>				
Request Handler Threads:	30	+	-	
Update Handler Threads:	20	+	-	
Stream Update Threads:	20	+	-	
History Update Threads:	10	+	-	
Security Cache Expiration:	3600	Option Chain Expiration:	3600	
Movers Cache Expiration:	30	Company Data Expiration:	1800	
<b>ATFI</b>				
Ip:	ATF15	Apply	MDS Connections:	1
Request Handler Threads:	12	+	-	DBM Connections: 11 +
<b>General</b>				
Socket Source:	Async	Stop	Restart	
Max connections:	100	Drop All		
<b>General</b>				
Ip:		OK	Cancel	

Figure 19b

Configure

Quote Source:	ATFI	Restart	<input checked="" type="checkbox"/> Cache	<input checked="" type="checkbox"/> Cache Movers
Level2 Source:	None	Restart		
Fundamentals Source:	ATFI Bridge None	Restart		
News Source:	None	Restart		
History Source:	ATFI	Restart	<input checked="" type="checkbox"/> Cache	
General				
Request Handler Threads:	30	+	-	
Update Handler Threads:	20	+	-	
Stream Update Threads:	20	+	-	
History Update Threads:	10	+	-	
Security Cache Expiration:	3600	Option Chain Expiration: 3600		
Movers Cache Expiration:	30	Company Data Expiration: 1800		
ATFI				
Ip:	ATF15	Apply	MDS Connections:	1
Request Handler Threads:	12	+	-	DBM Connections: 11 +
General				
Socket Source:	Async	Stop	Restart	
Max connections:	100	Drop All		
General				
Ip:		OK	Cancel	

Figure 19c

Configure X

Quote Source:	ATFI	<input type="button" value="Restart"/>	<input checked="" type="checkbox"/> Cache	<input checked="" type="checkbox"/> Cache Movers
Level2 Source:	None	<input type="button" value="Restart"/>		
Fundamentals Source:	ATFI	<input type="button" value="Restart"/>		
News Source:	ATFI	<input type="button" value="Restart"/>		
History Source:	Bridge	<input type="button" value="Restart"/>		
	None	<input type="button" value="Restart"/>	<input checked="" type="checkbox"/> Cache	
<b>General</b>				
Request Handler Threads:	30	<input type="button" value="+"/>	<input type="button" value="-"/>	
Update Handler Threads:	20	<input type="button" value="+"/>	<input type="button" value="-"/>	
Stream Update Threads:	20	<input type="button" value="+"/>	<input type="button" value="-"/>	
History Update Threads:	10	<input type="button" value="+"/>	<input type="button" value="-"/>	
Security Cache Expiration:	3600	Option Chain Expiration: 3600		
Movers Cache Expiration:	30	Company Data Expiration: 1800		
<b>ATFI</b>				
Ip:	ATF15	<input type="button" value="Apply"/>	MDS Connections:	1
Request Handler Threads:	12	<input type="button" value="+"/>	<input type="button" value="-"/>	DBM Connections: 11 <input type="button" value="+"/>
<b>General</b>				
Socket Source:	Async	<input type="button" value="Stop"/>	<input type="button" value="Restart"/>	
Max connections:	100	<input type="button" value="Drop All"/>		
<b>General</b>				
Ip:	<input type="text"/>	<input type="button" value="OK"/>	<input type="button" value="Cancel"/>	

Figure 19d

Configure

Quote Source:	ATFI	Restart	<input checked="" type="checkbox"/> Cache	<input checked="" type="checkbox"/> Cache Movers
Level2 Source:	None	Restart		
Fundamentals Source:	ATFI	Restart		
News Source:	None	Restart		
History Source:	ATFI	Restart	<input checked="" type="checkbox"/> Cache	
General				
Request Handler Threads:	30	+	-	
Update Handler Threads:	20	+	-	
Stream Update Threads:	20	+	-	
History Update Threads:	10	+	-	
Security Cache Expiration:	3600	Option Chain Expiration: 3600		
Movers Cache Expiration:	30	Company Data Expiration: 1800		
ATFI				
Ip:	ATF15	Apply	MDS Connections:	1
Request Handler Threads:	12	+	-	DBM Connections: 11 +
General				
Socket Source:	Async	Stop	Restart	
Max connections:	100	Drop All		
General				
Ip:			OK	Cancel

Figure 19e

Configure

Quote Source:	ATFI	Restart	<input checked="" type="checkbox"/> Cache	<input checked="" type="checkbox"/> Cache Movers	
Level2 Source:	None	Restart			
Fundamentals Source:	ATFI	Restart			
News Source:	None	Restart			
History Source:	ATFI	Restart	<input checked="" type="checkbox"/> Cache		
<b>General</b> <div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;">           Request Handler Threads: <b>ATFI</b> <span style="border: 1px solid black; padding: 2px;">ATFI</span> <span style="border: 1px solid black; padding: 2px;">Bridge</span> <span style="border: 1px solid black; padding: 2px;">None</span> <span style="border: 1px solid black; padding: 2px; margin-right: 10px;">+</span> <span style="border: 1px solid black; padding: 2px; margin-right: 10px;">-</span> </div> Update Handler Threads: 20 <span style="border: 1px solid black; padding: 2px; margin-right: 10px;">+</span> <span style="border: 1px solid black; padding: 2px; margin-right: 10px;">-</span> Stream Update Threads: 20 <span style="border: 1px solid black; padding: 2px; margin-right: 10px;">+</span> <span style="border: 1px solid black; padding: 2px; margin-right: 10px;">-</span> History Update Threads: 10 <span style="border: 1px solid black; padding: 2px; margin-right: 10px;">+</span> <span style="border: 1px solid black; padding: 2px; margin-right: 10px;">-</span>					
Security Cache Expiration:		3600	Option Chain Expiration:		3600
Movers Cache Expiration:		30	Company Data Expiration:		1800

ATFI

Ip:	ATF15	Apply	MDS Connections:	1			
Request Handler Threads:		12	<span style="border: 1px solid black; padding: 2px;">+</span>	<span style="border: 1px solid black; padding: 2px;">-</span>	DBM Connections:	11	<span style="border: 1px solid black; padding: 2px;">+</span>

General

Socket Source:	Async	Stop	Restart
Max connections:	100	Drop All	

General

Ip:	<input type="text"/>	OK	Cancel
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Figure 19f